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A COMPARATIVE ANALYSIS OF THE RELATIONSHIP BETWEEN GOVERNANCE STRUCTURE AND POLICY SETTING IN TECHNICAL INSTITUTES

by

WILLIAM HUGHES GLANVILLE

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OF DOCTOR OF PHILOSOPHY

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The undersigned certify that they have read, and recommend to the Faculty of Graduate Studies and Research, for acceptance, a thesis entitled A COMPARATIVE ANALYSIS OF THE RELATIONSHIP BETWEEN GOVERNANCE STRUCTURE AND POLICY SETTING IN TECHNICAL INSTITUTES submitted by WILLIAM HUGHES GLANVILLE in partial fulfilment of the requirements for the degree of Doctor of Philosophy.

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THIS THESIS IS DEDICATED TO
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ABSTRACT

The purpose of this study was to investigate the characteristics of the policy making process that were associated with different academic governance structures. The study examined two cases of policy setting at each of two technical institutes in order to compare the policy formulation processes that occurred under the structure of board governance that existed in Alberta and the structure of provincial administration that existed in Saskatchewan.

The conceptual model for the study was based on the notion of a "policy organization" utilized by Meltsner and Bellavita (1983). The eight organizational design elements of structure, goals, members, environment, resources, tasks, decision making, and communications guided the initial phase of data collection through the use of a survey questionnaire on each of the four policies chosen for study. The general characteristics of institutional governance were investigated through interviews with the key participants in the policy setting process. The data were analyzed in accordance with the policy organization model and conclusions were drawn with respect to the nature of the policy setting process, the nature of institutional governance, and the applicability of the models examined in the literature review.

It was concluded that the nature of the policy setting process was strongly influenced by the type of academic governance structure, primarily through the element of formal structure of the policy organization. Under board governance, a stable structure which was an integral part of the senior levels of institute administration existed in support of the policy setting process. Under provincial administration, two different policy organizations existed, both of which were characterized as temporary in nature.

Finally, several implications for practitioners were suggested and a number of hypotheses for further study were proposed.

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TABLE OF CONTENTS

CHAPTER PAGE

1 INTRODUCTION 1

BACKGROUND OF THE STUDY 2

PURPOSE OF THE STUDY 4

SIGNIFICANCE OF THE STUDY 5

CONCEPTUAL FRAMEWORK 8

STATEMENT OF THE PROBLEM 10

DELIMITATIONS, LIMITATIONS, AND ASSUMPTIONS 12

Delimitations 12
Limitations 12
Assumptions 13

DEFINITIONS 14

ORGANIZATION OF THE THESIS 15

2 REVIEW OF RELATED LITERATURE 17

ACADEMIC GOVERNANCE 17

Patterns of Governance 18

The rational model 19
The collegial model 20
The political model 22
The organized anarchy model 23
Review of models 23

DEVELOPMENT OF GOVERNANCE STRUCTURES

IN ALBERTA AND SASKATCHEWAN 25

Alberta 25
Saskatchewan 31

CHAPTER PAGE

NATURE AND ROLE OF POLICY 34

Definition of Policy 35
Role of Policy 37
Models of the Policy Process 38

Institutionalism 39
Group theory 40
Elite theory 41
Systems theory 42

Nature of the Policy Setting Process 44
Conceptual Framework 45

Structure 46
Goals 46
Members 47
Environment 47
Resources 48
Tasks, decision making, and communications 48

SUMMARY 49

3 RESEARCH DESIGN AND METHODOLOGY 52

RESEARCH DESIGN 52

Statement of the Problem 52
Nature of the Study 54
Selection of the Sites 57
Selection of the Policies 59
Structure of the Study 60

INSTRUMENT SELECTION AND DEVELOPMENT 61

Perception Formation 62
Survey Questionnaire 63
Interview Guide 65

RESEARCH METHODOLOGY 66

Permission to Conduct Research 66
Collection of the Data 67

Initiation of the study and selection of the participants 67
Administration of the questionnaires . . . 69
Conduct of the interviews 71

CHAPTER PAGE

Analysis of the Data 71

Treatment of the questionnaire data . . . 71
Treatment of the interview data 72

SUMMARY 74

4 DESCRIPTION AND ANALYSIS OF DATA FOR THE

NORTHERN ALBERTA INSTITUTE OF TECHNOLOGY . . . 76

DESCRIPTIVE BACKGROUND FOR NAIT 76

THE FINDINGS 79

Origin of the Performance Appraisal Policy . 79
Organizational Design Elements for the Performance Appraisal Policy 81

Structure 81
Goals 87
Members 90
Environment 94
Resources 96
Tasks 99
Decision making 101
Communications 105

Origin of the International Education Policy 107
Organizational Design Elements for the International Education Policy 109

Structure 109
Goals 112
Members 115
Environment 119
Resources 122
Tasks 124
Decision making 127
Communications 129

GENERAL DESCRIPTION OF THE POLICY ORGANIZATION 131

Comparison of Organizational Design Elements for NAIT 132

Structure 132
Goals 134
Members 136
Environment 136
Resources 139

CHAPTER PAGE

Tasks 139
Decision making 139
Communications 143
General features of the policy organization 145

5 DESCRIPTION AND ANALYSIS OF DATA FOR

KELSEY INSTITUTE OF APPLIED ARTS AND SCIENCES 147

DESCRIPTIVE BACKGROUND FOR KELSEY 147

THE FINDINGS 150

Origin of the Competency Based Learning Policy 151

Organizational Design Elements for the Competency Based Learning Policy 153

Structure 153
Goals 159
Members 161
Environment 167
Resources 169
Tasks 171
Decision making 173
Communications 176

Origin of the Student Counselling and Discipline Policy 178

Organizational Design Elements for the Student Counselling and Discipline Policy. 180

Structure 180
Goals 185
Members 187
Environment 191
Resources 194
Tasks 194
Decision making 198
Communications 201

GENERAL DESCRIPTION OF THE POLICY ORGANIZATION 203

Comparison of Organizational Design Elements for Kelsey 204

Structure 204
Goals 206
Members 206

CHAPTER PAGE

Environment 209
Resources 209
Tasks 209
Decision making 213
Communications 213
Summary features of the policy organization 216

6 COMPARATIVE ANALYSIS OF THE RELATIONSHIP BETWEEN GOVERNANCE STRUCTURE AND POLICY SETTING 220

INTRODUCTION 220

COMPARATIVE SUMMARY OF ORGANIZATIONAL DESIGN ELEMENTS 221

THE NATURE OF INSTITUTIONAL AUTONOMY 230

Background 230
NAIT Findings 230
Kelsey Findings 234
Comparison of NAIT and Kelsey Findings . . . 239

PARTICIPATION IN ACADEMIC GOVERNANCE 245

Background 245
NAIT Findings 248
Kelsey Findings 252
Comparison of NAIT and Kelsey Findings . . . 254

ORGANIZATIONAL CLIMATE 259

Background 259
NAIT Findings 261
Kelsey Findings 263
Comparison of NAIT and Kelsey Findings . . . 265

GENERALIZING ANALYSIS FROM THE TWO INSTITUTIONS 268

The Policy Organizations 268
The General Characteristics 269
Generalizing Analysis 270

Goals 270
Members 274
Environment 274
Structure 274
Resources 275

CHAPTER PAGE

Tasks 275
Decision making 276
Communications 276

7 SUMMARY, CONCLUSIONS, AND IMPLICATIONS 277

SUMMARY OF THE STUDY 277

Focus of the Study 277
Purpose and Statement of the Problem 277
Design of the Study 279

Selection of the policies 280
Conceptual framework 280
Development of the instruments 281
Analysis of the data 282

Findings of the Study 283
Discussion of the Findings 293

Nature of the policy organizations 293
Nature of institutional governance 296
Influence of governance characteristics on policy organizations 298

CONCLUSIONS 299

Policy Setting in Technical Institutes . . . 300

The nature of the policy setting process . 300
Models of policy making 305

Academic Governance Structures of Non-university Institutions 309
Methodological Aspects of the Study 312

IMPLICATIONS 315

Implications for Practice 315
Implications for Research 317

The nature of the policy setting process 318
Academic governance structures of non-univerisity institutions 319
Methodological aspects of the study . . . 319

BIBLIOGRAPHY 320

APPENDIX A: PANEL MEMBERS FOR QUESTIONNAIRE EVALUATION. 327

APPENDIX B: TRANSMITTAL LETTER AND QUESTIONNAIRE . . . 329

PAGE

APPENDIX C: INTERVIEW GUIDES 340

APPENDIX D: PERMISSION TO CONDUCT RESEARCH 345

APPENDIX E: STUDY PARTICIPANTS 349

APPENDIX F: DOCUMENTARY MATERIALS 352

APPENDIX G: DEFINITION OF POLICY 354

LIST OF TABLES

TABLE PAGE

1 Components of the Study 61

2 Respondents' Perceptions of the Formal Structure of the Policy Organization 82

3 Respondents' Perceptions of the Goals of the Policy 88

4 Respondents' Perceptions of the Nature of the Members of the Policy Organization 91

5 Respondents' Perceptions of the Nature of the Environment of the Policy Organization . . 95

6 Respondents' Perceptions of the Resources of the Policy Organization 98

7 Respondents' Perceptions of the Nature of the Tasks Performed in the Policy Organization . . 100

8 Respondents' Perceptions of the Nature of the Policy Decision Making Process 102

9 Respondents' Perceptions of the Nature of the Communications in the Policy Organization . . . 106

10 Respondents' Perceptions of the Formal Structure of the Policy Organization 110

11 Respondents' Perceptions of the Goals of the Policy 113

12 Respondents' Perceptions of the Nature of the Members of the Policy Organization 116

13 Respondents' Perceptions of the Nature of the Environment of the Policy Organization . . 120

14 Respondents' Perceptions of the Resources of the Policy Organization 123

15 Respondents' Perceptions of the Nature of the Tasks Performed in the Policy Organization . . 125

16 Respondents' Perceptions of the Nature of the Policy Decision Making Process 128

TABLE PAGE

17 Respondents' Perceptions of the Nature of the Communications in the Policy Organization . . . 130

18 Common Features of the Formal Structure of the Policy Organization 133

19 A Comparison of Respondents' Perceptions of the Goals of the Policy 135

20 A Comparison of Respondents' Perceptions of the Nature of the Members of the Policy Organization 137

21 A Comparison of Respondents' Perceptions of the Nature of the Environment of the Policy Organization 138

22 A Comparison of Respondents' Perceptions of the Resources of the Policy Organization 140

23 A Comparison of Respondents' Perceptions of the Nature of the Tasks Performed in the Policy Organization 141

24 A Comparison of Respondents' Perceptions of the Nature of the Policy Decision Making Process . 142

25 A Comparison of Respondents' Perceptions of the Nature of the Communications in the Policy Organization 144

26 Respondents' Perceptions of the Formal Structure of the Policy Organization 154

27 Respondents' Perceptions of the Goals of the Policy 160

28 Respondents' Perceptions of the Nature of the Members of the Policy Organization 162

29 Respondents' Perceptions of the Nature of the Members of the Policy Organization 165

30 Respondents' Perceptions of the Nature of the Environment of the Policy Organization . . 168

31 Respondents' Perceptions of the Resources of the Policy Organization 170

32 Respondents' Perceptions of the Tasks Performed in the Policy Organization 172

TABLE PAGE

33 Respondents' Perceptions of the Nature of the Policy Decision Making Process 174

34 Respondents' Perceptions of the Nature of the Communications in the Policy Organization . . . 177

35 Respondents' Perceptions of the Formal Structure of the Policy Organization 181

36 Respondents' Perceptions of the Goals of the Policy 186

37 Respondents' Perceptions of the Nature of the Members of the Policy Organization 188

38 Respondents' Perceptions of the Nature of the Environment of the Policy Organization 192

39 Respondents' Perceptions of the Resources of the Policy Organization 195

40 Respondents' Perceptions of the Nature of the Tasks Performed in the Policy Organization . . 196

41 Respondents' Perceptions of the Nature of the Policy Decision Making Process 199

42 Respondents' Perceptions of the Nature of the Communications of the Policy Organization . . . 202

43 A Comparison of Respondents' Perceptions of the Goals of the Policy 207

44 A Comparison of Respondents' Perceptions of the Nature of the Members of the Policy Organization 208

45 A Comparison of Respondents' Perceptions of the Nature of the Environment of the Policy Organization 210

46 A Comparison of Respondents' Perceptions of the Resources of the Policy Organization 211

47 A Comparison of Respondents' Perceptions of the Nature of the Tasks Performed in the Policy Organization 212

48 A Comparison of Respondents' Perceptions of the Nature of the Policy Decision Making Process . 214

TABLE PAGE

49 A Comparison of Respondents' Perceptions of the Nature of the Communications in the Policy Organization 215

50 A Comparison of Organizational Design Elements for Different Academic Governance Structures . 222

51 A Comparison of Findings with respect to Institutional Autonomy 240

52 A Comparison of Participation in Academic Governance 255

53 A Comparison of Findings on Organizational Climate 266

54 A Generalizing Analysis of the Characteristics of the Policy Setting Process 271

LIST OF FIGURES

FIGURE PAGE

1 The Elite Model 42

2 The Systems Model 43

3 Relationships Among the Elements of the Policy Organization (NAIT) 225

4 Relationships Among the Elements of the Policy Organization (Kelsey) 227

CHAPTER 1

INTRODUCTION

Governance arrangements in higher education have received the continuous attention of researchers and policy makers over the last twenty years in both Canada and the United States. The resulting body of knowledge has both described various academic governance structures and analyzed shifts in the degrees of public control and institutional independence of the different structures.

The question of how postsecondary educational institutions are governed and managed has always been an important consideration for those with a stake in postsecondary education -- the public, provincial governments, and the institutions themselves. The current economic climate of relatively slow growth for private businesses and fiscal restraint for publicly funded organizations has increased the public's awareness of limits on governmental operations, including postsecondary education. In an environment which is increasingly sensitive to the public costs of higher education, policy makers are continuing to seek an appropriate balance between public control of higher education to ensure accountability and institutional independence to enhance operational effectiveness.

BACKGROUND OF THE STUDY

During the period from 1965 to 1973, dramatic growth occurred in the number of non-university, postsecondary educational institutions in western Canada. The relationship of the emerging institutions -- public colleges and technical institutes -- to the well established universities became a subject for discussion and study, leading to the consideration of alternative forms of academic governance.

Created with different institutional mandates, the public colleges and technical institutes have had varied histories of academic governance. By the late 1960s in Alberta the concept of colleges serving first the educational needs of their communities had replaced the notion of junior colleges operating under specific affiliation arrangements with universities. The principle of responsiveness to the regional community led to the establishment of community colleges, each governed by its own Board of Governors; boards were composed largely of public representatives from the community appointed by the provincial government.

In contrast, growth in the number of technical institutes in western Canada was stimulated by the _Technical and Vocational Training Assistance Act_ of 1960. The development of a federal-provincial agreement on cost sharing in support of secondary and postsecondary technical/vocational education was based on the shortage of skilled manpower to support industrial growth. Manpower planning activity was carried out primarily by the federal and provincial governments. The principle of education and training designed in response to specific manpower demands led to the creation of technical institutes which were administered directly by the provincial government.

More recently, three factors have contributed to a reconsideration in some provinces of the governance structure of technical institutes. First, the predictive value of manpower planning over the long term was not good. Therefore, the exclusive use of manpower demand indicators as a basis for planning technical/vocational education programs was questionable, and the need for institutions which were highly responsive to government identified training needs was less urgent. Second, since their creation, the technical institutes have developed into large, complex organizations that offer a range of services to the public well beyond those identified by centralized government planning. In responding to the expressed social demand for technical and vocational programs, the principle of responsiveness to the general public demand for programming began to compete with the principle of responsiveness to government manpower planning. Finally, the heightened sensitivity of governments to the need for accountability to the public reinforced the notion expressed by Worth (1972:128) "that higher education is too important to be left to educators and students alone, and that it requires surveillance by the larger society." In response to these forces, the technical educational institutions in Alberta and British Columbia were converted from provincially administered institutions to board governed institutions.

At the time of writing, in western Canada there was a mixture of three structures governing the operation of the technical institutes. In Saskatchewan, the technical institutes were administered directly by a provincial government department. Alberta and British Columbia, however, had implemented governance by appointed lay boards for the technical institutes. Finally, Manitoba had just recently appointed lay boards which were advisory to the provincial Department of Education in the governance of the three technically oriented community colleges.

PURPOSE OF THE STUDY

The purpose of this study was to investigate the characteristics of a key organizational process, policy making, that were associated with different governance structures. The study examined two cases of policy making at each of two technical institutes in order to compare the policy formulation processes that occurred under the structure of board governance that existed in Alberta and the structure of provincial administration that existed in Saskatchewan.

SIGNIFICANCE OF THE STUDY

The study was designed to be an investigation of the relationship between the governance structure of a particular type of educational institution and a key organizational process, that of policy making, within the institution. This type of study touched on a number of current themes in higher education research. The major theme of importance was that of the balance between public control of higher education and institutional independence. This issue has received the continuous attention of researchers and policy makers over the last twenty years in both Canada (see, for example, Bosetti, 1972; Sheffield et al., 1982) and the United States (Berdahl, 1971; Millett, 1984).

A second theme was related to the nature and extent of participation in postsecondary academic governance. Lindblom (1980:11) observed that there are "two overriding questions about the policy making process: how to make policies more effective in actually solving social problems, and how to make policy making responsive to popular control." The latter point has been a central topic for discussion by educational policy makers in western Canada for at least two decades. In developing a rationale for the integration and coordination of the Alberta postsecondary education system, both Worth (1972) and Bosetti (1972) recommended the establishment of lay governing boards for each institution in the system.

The principles underlying these recommendations included: (1) increased public participation in the governance of higher education, (2) participation in academic governance by the various constituent groups affected by the governing body's decisions, and (3) establishment of a buffering mechanism to facilitate the development of relatively independent institutions of higher education.

In the last eight years, the Government of Alberta has undertaken a program of converting several institutions of postsecondary education from line operations of government to board governed entities. With a trend to establish lay boards of governors for non-university postsecondary institutions in Alberta, a study of the policy setting processes in provincially administered and board governed institutions could provide a timely comparison of the characteristics of these two governance structures with to the nature and extent of participation in institutional governance.

A third issue was related to changes in the nature of academic governance, a topic which has received a great deal of attention over the last fifteen years. An early examination of the subject by Baldridge (1971) was followed by several other writings, including Cohen and March (1974), Corson (1975), Baldridge et al. (1977), and Millett (1978,1984). These studies have attempted to characterize the nature of the governance process as being primarily bureaucratic, collegial, political, or anarchical. The prevailing view at present is that the governance process is not represented exclusively by one or the other of these descriptions, but is best characterized as a combination of two or more of these models. From a prescriptive point of view, this suggests that there is no single best governance arrangement; instead, the governance framework should be designed on the basis of the best fit between the desired degree of public control of higher education and the desired degree of institutional independence. This study examined the nature of that fit for two technical institutes in two western provinces.

A final point was related to the methods used to study governance issues and policy issues in educational organizations. The dominant approach to descriptive and comparative studies of non-university institutions has been that of survey research; examples include the studies by Day (1971) and Bosetti (1975). Research on policy formulation, however, has utilized primarily the case study of an individual policy issue at a single institution; examples include the studies by Long (1979), Small (1980), and Taylor (1981).

The present study was designed as a two-site case study that utilized a survey questionnaire to gather basic comparative data, as well as documentary analysis and in-depth interviews to examine four cases of policy setting. This approach combined the strengths of survey research and case study research by providing both greater detail related to the individual cases of policy setting than is possible with a single survey questionnaire, and more general comparative data than is possible from four separate case studies.

CONCEPTUAL FRAMEWORK

As noted in the previous section, several models of academic governance have emerged from the research on higher education. As the critical issues in higher education shift and evolve, however, any particular model by itself has had limited utility. Recently, Deegan (1985:77) has noted the need for "a broader, more integrated, and more comprehensive framework that can be used by decision makers to generate and analyze issues of substance and issues of process."

A general organizational model for the study of policy setting was employed by Meltsner and Bellavita (1983:15) who utilized the concept of a "policy organization" in their case study of an educational policy in California. They stated that "in a sense the policy sets in motion new activities and reallocates organizational resources. At that point is it not possible to conceive that a policy has its own organization, a policy organization?" Meltsner and Bellavita (1983:70-82) described eight organizational design elements that they used in their analysis of a policy on pupil proficiency assessment in California; the design elements were grouped in the following way:

Preliminary boundary design elements

1. Goals
2. Members
3. Environment

Allocation design elements

4. Structure
5. Resources

Control design elements

6. Tasks
7. Decision making
8. Communications

The preliminary boundary design elements were used to delineate the boundaries of the policy organization by identifying the goals of the policy under study, the key participants in the policy organization, and the linkages between the policy organization and its environment. The allocation design elements described the division of labor and the allocation of responsibility for various activities within the policy organization. Meltsner and Bellavita regarded the allocation design elements as defining the relatively static aspects of the organization, while the control design elements defined the more dynamic characteristics of the policy organization. The three control design elements of tasks, decision making, and communications were interrelated in that simple tasks in the policy organization would lend themselves to decision-making using pre-set procedures with little need for communications, while complex policy tasks would lead to more involved decision making procedures that rely on continuous communications among the participants.

STATEMENT OF THE PROBLEM

The study described and compared the policy setting processes of two technical institutes which had different academic governance structures. The study addressed the following specific questions:

1. What is the nature of the policy organization, as described by the following eight organizational design elements, by which policies are set for the institution?

    1.1 Goals

    What are the goals of the policy?

    1.2 Members

    What is the nature of the membership of the policy organization?

    1.3 Environment

    What is the nature of the environment of the policy organization?

    1.4 Structure

    What is the formal structure of the policy organization?

    1.5 Resources

    What organizational resources are allocated specifically to the policy setting process?

1.6 Tasks

What is the nature of the tasks performed by the members of the policy organization?

1.7 Decision making

What is the nature of the policy decision making process?

1.8 Communications

What is the nature of the communications that occur within the policy organization?

2. How do the policy organizations compare for the two different academic governance structures?
3. What is the nature of institutional governance at the two technical institutes, as described by the following three general characteristics of governance structures and processes?

3.1 Institutional autonomy

What is the nature of institutional autonomy?

3.2 Participation in academic governance

What is the nature and extent of participation in academic governance?

3.3 Organizational climate

What is the nature of the organizational climate?

4. How do the general characteristics of institutional governance compare for the two different academic governance structures?
5. To what extent are the general characteristics of institutional governance evident in the nature of the

policy organizations?

DELIMITATIONS, LIMITATIONS, AND ASSUMPTIONS

Delimitations

The study was delimited to include two technical institutes, one in Alberta and one in Saskatchewan. Further, the study considered events related only to the setting of specific policies in the recent experience of the institutions studied. Thus, the investigation was delimited to include only the policy making process and did not attempt to examine other aspects such as policy implementation or policy evaluation; also, other areas of decision making were excluded.

Limitations

This study was descriptive in nature, and it involved comparative analysis of the policy setting processes for specific academic and administrative policies within two technical institutes. In this context, the following limitations were notable:

1. The external validity or generalizability to other types of institutions was limited by the choice of institutions, the research design, and the uniqueness of the policies.
2. The internal validity of the data was limited to the extent that the policy setting process could be accurately and comprehensively described by the eight organizational

design elements chosen for data collection and analysis.

3. The validity of the data was also limited by the use of respondents' perceptions as the major source of data for the study.
4. The study was limited by the extent to which the institutions afforded access to internal documents and key actors.

Assumptions

The following assumptions were made in conducting the study:

1. That policy making was an important organizational process that had occurred with some frequency over the last three years in the institutions to be studied.
2. That the policy making process was a sufficiently formalized and open process that it could be studied and described through surveys and interviews of key actors, and analysis of policy documents.
3. That the key actors could accurately recall and describe various aspects of the policy making process.
4. That the policy documents and related materials were an accurate record of the policy decisions studied.
5. That the perceptions of the researcher in analyzing and reporting the results of the study were trustworthy.

DEFINITIONS

A number of terms that are used throughout this study are defined below in order to provide a common basis for understanding at the outset. Other terms will be defined as they are introduced.

Academic governance structure -- "a formal arrangement for involving various groups or constituencies of the campus" in decision making (Millett, 1978:x). The two academic governance structures examined in this research were grounded in provincial legislation. This term is used interchangeably with "governance arrangement" and "form of governance" in this document.

Organizational design elements -- "a checklist of key categories that could be used to describe the functioning of an organization"; "a design element is some aspect of the organization that can be managed" (Meltsner and Bellavita, 1983:71).

Interest articulation -- "the political process is set in motion when some group or individual makes a political demand. This process of demand making is called interest articulation" (Almond and Powell, 1978:169).

Interest aggregation -- "the function of converting demands into major policy alternatives is called interest aggregation" (Almond and Powell, 1978:198).

Centralization -- "retention of decision-making prerogatives or command" at high levels in the organization

(Luthans, 1977:128).

Perception -- "is the means by which stimuli affect an individual. A stimulus that is not perceived has no effect on behavior" (French, Kast and Rosenzweig, 1985:147). The mechanism of perception formation and its relation to the research design of this study are discussed further in Chapter 3.

ORGANIZATION OF THE THESIS

This chapter has presented an overview of the context of the study, a short description of the conceptual framework, and the research questions. Chapter 2 reviews the general literature and specific research studies related to both academic governance and policy making. The research design and methodology utilized to answer the research questions effectively are described in Chapter 3.

Chapters 4 and 5 present the findings with respect to policy setting at the two participating institutions. For each institution, the organizational design elements for two policies are described and a general picture of the policy organizations is developed. Chapter 6 provides a comparative analysis of the policy organizations described in the previous two chapters. It also presents the findings with respect to the general characteristics of institutional governance. Chapter 6 concludes with a generalizing analysis that attempts to merge the findings on institutional governance characteristics with the features of the policy organizations to examine the relationship between governance structure and policy setting.

The final chapter summarizes the findings of the study and enumerates several conclusions based on these findings. This chapter concludes with a discussion of the implications of this research for practice and for further study.

CHAPTER 2

REVIEW OF RELATED LITERATURE

Three areas of the literature that are related to this study are reviewed here: (1) the general literature on academic governance, (2) a variety of sources dealing with the governance of Alberta and Saskatchewan postsecondary institutions, and (3) the general literature on the nature and the role of policy making.

ACADEMIC GOVERNANCE

The term governance occurs frequently in the literature on higher education. Corson (1975:20) defines governance as "the process of 'deciding' and of seeing to it that the decisions made are executed." A somewhat more detailed definition of governance is provided by Millett (1980:495), who states that "governance is the act of decision making about institutional purposes (mission), about basic policies, about program objectives, and about resource allocation." Finally, Baldridge and Kemerer (1977:355) comment that "academic governance is a complex and tangled web of decision making that translates scholarly goals and values into college and university policies and action."

All of the definitions cited here emphasize academic governance as a decision making process. This process is carried out within a formal organizational structure in which the authority and responsibility to make decisions is most commonly vested in a governing board. The board is usually made up of lay members from outside the academic community who serve part-time. This type of public board acts as a governing device that buffers the educational institution from the direct influence of government on campus operations. However, this structure also embeds academic governance in a context of public utility. Board members are representatives of society to the academic organization as well as representatives of the institution to society. Thus, the decisions that boards make have a social as well as an educational aspect.

The participants in the governance of academic organizations are diverse: trustees, administrators, faculty, staff, students, and, with increasing frequency, elements outside the organization. It is the nature of the way in which these groups interact in the decision process that is considered in the next part of this review.

Patterns of Governance

Based on the definitions of governance noted above, the essential process of governance is one of organizational decision making. The current literature on academic governance presents four models of decision making:(1)the rational or bureaucratic model, (2) the consensus or collegial model, (3) the conflict or political model, and (4) the organized anarchy or "garbage can" model. Each model of decision making implies a different view of the structure and processes of academic organizations.

The rational model. This model provides a picture of decision making that shows the decision makers carefully considering the widest range of feasible alternatives that address previously agreed upon goals. Given a number of clearly defined goals and agreement that these goals should be pursued, the alternative which is ultimately chosen as a result of this process is the one which achieves the organization's goals most efficiently.

The view of educational institutions that underlies this model of decision making is that of academic bureaucracy. Based on the work of Weber (1947), this frame of reference begins with the concepts of work specialization and division of labor as the most efficient ways of achieving clear organizational goals. This leads to the consideration of such issues as clear lines of authority, degree of centralization, span of control, and line-staff relationships in the design of an appropriate formal structure for the organization.

Stroup (1966) has analyzed the bureaucratic aspects of institutions of higher education using this approach. He has found several characteristics of colleges and universities that fit the bureaucratic model. These characteristics include the existence of a formal hierarchy, formal lines of authority and channels of communication, institutional rules and regulations, and standard operating procedures governing access to services and degree requirements.

The exclusive focus of the rational model on formal structure, however, has some limitations when applied to academic organizations (Scott, 1981):

1. It is not always possible for an educational organization to enumerate its goals in a clearly defined manner; therefore, establishing a list of feasible alternative courses of action becomes difficult.
2. An institution of higher education pursues multiple goals such as instruction, research, public service, and constructive social criticism which are not always consistent with one another. This results in there being no single best alternative that addresses all the goals.
3. Academic organizations are affected by a changing social and economic environment. The rational perspective is a relatively static one that provides limited consideration of external, environmental forces.

In summary, the rational model of decision making addresses the use of formal authority in an academic institution to accomplish organizational tasks. But this frame of reference is limited because it ignores other aspects of academic governance that are important for an understanding of organizational processes in higher education. The next three models that are discussed in this review -- the collegial, political, and organized anarchy models -- emphasize the role of consensus, bargaining, and chance occurrence as key features of the governance process.

The collegial model. This approach to decision making views the academic organization as a community of scholars engaged in a highly participative form of governance. Millett (1962:235) describes decision making in this case as being achieved "not through a structure of superordination and subordination of persons and groups but through a dynamic of consensus."

This perspective of academic governance places a high value on maintaining collegiality among the organization's members. Consideration of the organization's goals is influenced by, and helps to maintain, the institution's routines and interests, and the shared values of its members. Here, the range of alternatives that is viewed as being feasible is limited by the collegial context of the decision; a sort of pre-selection occurs in the following ways:

1. The organization doesn't produce enough information about some, possibly useful, alternatives. This provides a high degree of uncertainty around some choices, making these choices appear less feasible.
2. The institutional members know all too well about the consequences of some alternatives. When these consequences are perceived to conflict with existing organizational routines or entrenched interests, they are viewed as less desirable, even though they may go a long way towards achieving the overall goals of the college or university.

This model of academic governance is similar to the organizational processes model of decision making described by Allison (1971). It is useful to be aware that there are organizationally determined limits to the rational consideration of every feasible alternative. However, the collegial model does not provide a framework for considering inter-group differences within an academic organization. The political model discussed next gives explicit recognition to conflict as a factor in institutional decision making.

The political model. Baldridge (1971) characterizes academic governance as a diffuse decision process in which interest groups, academic officials, individuals, and organizational units raise issues. He studied a series of events at New York University and declared that rational models "stop far short of explaining the decision dynamics of most complex organizations." Baldridge (1971:192) concludes his study with the following comment:

> Thus the decision model that emerges from an investigation of the university's political dynamics is more open, more dependent on conflict and political action. It is not so systematic or formalistic as most decision theory, but it is probably closer to the truth in many respects.

This perspective sees academic organizations as being made up of various groups, each with its own view of the problem and its own reasons for choosing a particular alternative. The interaction between these groups and the decision maker results in a process of bargaining to determine which alternatives will be adopted for action.

A model which views decision making as a bargaining process emphasizes the conflicting aspects of alternatives under consideration. It also highlights the compromise nature of the decision process. In order to understand why a particular alternative is chosen, one needs to be aware of the various parties involved in the decision making process and what their points of view are at the time the decision is made.

The organized anarchy model. This approach to academic governance suggests that decision making occurs in a non-rational manner: issues, solutions, and participants meet in the decision making arena (termed a "garbage can"), and decisions result from chance encounters of these factors. Such a decision model applies in conditions of high organizational uncertainty.

The garbage can decision model arises from the work of Cohen and March (1974) which characterizes universities and colleges as "organized anarchies." They developed this picture based on their discovery that institutions of higher education have ambiguous goals, poorly defined technology, and diverse and shifting participation in academic issues. This view of educational institutions implies that governance will be problematic in terms of the difficulty of establishing a consistent basis for decision making. Millett (1978:231) proposes that a more appropriate term is "organized autonomy" when trying to describe campus governance.

Review of models. The four frames of reference described above offer different views of academic governance: (1) a bureaucratic view (decisions by rule making), (2) a collegial view (decisions by consensus), (3) a political view (decisions by negotiation), and (4) an organized anarchy view (decisions by chance). Since the development of these four models, there have been continuing research efforts to determine which model or combination of models best reflects the actual experience of academic organizations.

Millett (1978) chose thirty colleges and universities as subjects for case studies to address this issue. This large scale research examined both public and private educational institutions in three categories: (1) leading research universities, (2) other universities, and (3) general baccalaureate colleges. Millett (1978;225) concludes that "if there was a consensus, it was that none of the models was quite adequate in presenting a generalized concept of prevailing decision making behaviour at at any given time." In reviewing the applicability of the political model some years after its development, Baldridge et al. (1977:18-19) present a "revised political model" that emphasizes the importance of bureaucratic aspects of academic organizations and the prominence of environmental forces acting on colleges and universities. He concludes with the following statement:

> Finally, we are not substituting the political model for the bureaucratic or collegial model of academic decision making. In a sense, they each address a separate set of problems and, taken together, they often yield complementary interpretations.

These later studies provide a contingency view of academic governance in which no single approach to decision making applies to all issues in educational institutions. Instead, one model or another may reflect the essence of a decision, depending on the situation. For example, many activities of academic organizations operate under well established procedures (see for example, Blau, 1973); these activities are best viewed as being governed by bureaucratic decision making. However, as institutions of higher education become more open to the societal environment, other issues may arise that attract the involvement of a variety of interest groups; these issues will likely be resolved through a political process model of decision making. The discussion in the literature of models of academic governance has shifted in recent years to focus on the issue of achieving the proper balance between institutional independence and state/provincial control of higher education. This issue has been the one of central importance to the development of Alberta's postsecondary education system and is reviewed next.

DEVELOPMENT OF GOVERNANCE STRUCTURES IN ALBERTA AND SASKATCHEWAN

Alberta

Until the 1950s, Alberta postsecondary education had developed as a number of subsystems which featured a diversity of institutional governance arrangements. The University of Alberta was administered by a Board of Governors, which was also responsible for the Banff School of Fine Arts. Private colleges developed specific affiliation arrangements with the university. Initially, public junior colleges were to be governed jointly by the School Act and the Universities Act, utilizing affiliation regulations with the university comparable to those in place for the private colleges. Finally, a number of institutions were administered directly by provincial government departments: the Provincial Institute of Technology and Art (renamed the Southern Alberta Institute of Technology in 1960) was governed by the Department of Education, and the three agricultural schools at Olds, Vermilion, and Fairview were under the jurisdiction of a Board of Agricultural Education chaired by the Minister of Agriculture.

As the system expanded rapidly in the 1960s, considerable effort was devoted to integrating and coordinating the roles of the several types of institutions in the province. The issue of governance of non-university postsecondary institutions was focused in the redesign of the relationship of the newly emerging public colleges to the university. In 1958 The Public Junior Colleges Act had broadened the mandate of these institutions to include general and vocational programs in addition to the university transfer function. A series of commission reports in the period 1959-65 confirmed the community college role for the public colleges. A study by Stewart (1965:48) recommended the following governance arrangement:

> The development of non-university, post-school education should be made the responsibility of District Boards; except that the Institutes of Technology would continue to be operated by the Department of Education. ... There should be a Provincial Board for Post-School Education which would include representatives of the

District Boards.

In 1967 the Provincial Board of Post-Secondary Education was established and, in June of that year, it recommended to the Provincial Cabinet "that the five public junior colleges, the three agricultural colleges, and the two institutes of technology all be placed under the direct administrative control of boards of governors" (Fenske, 1969:2). Only a portion of this recommendation was approved by Cabinet; publicly appointed boards were established only for the public junior colleges. One year later, in June, 1968, the Board of Post-Secondary Education drafted proposed new legislation which would eventually become _The Colleges Act_ in 1969; Dr. Kolesar, the Chairman of the Board, explained the purpose of the new _Act_ in this way (Kolesar, 1968:6):

> The _Act_ is to provide the legislative framework for the operation of a provincial college system including what are presently called public junior colleges, institutes of technology, and agricultural and vocational colleges. These institutions, and others serving a similar function (excluding universities), shall for the purpose of the _Act_ be considered to be members of the college system and to be subject, unless specifically excepted, to all provisions of the _Act_. The _Act_ is to include suitable provisions for the transition to the new organizational form and to the new operational pattern.

The Colleges Act also established the Colleges Commission as an intermediary governing body between the college system and both the government and the universities. Research and discussion continued on how to integrate what was still a fairly diverse system with no less than four different governing agencies in the Universities Commission, the Colleges Commission, the Department of Education, and the

Department of Agriculture.

In the early 1970s two parallel tracks of activity were proceeding towards similar recommendations in this area. The Planning and Research Division of the Colleges Commission undertook a series of studies which resulted in a sequence of Master Planning Monographs and, ultimately, Master Plan Number One which dealt specifically with the growth, coordination, and integration of the Alberta system of postsecondary, non-university education. Two recommendations related to academic governance which were made (Bosetti, 1972) are stated below:

> Recommendation 12.
> That all advanced educational services currently provided under the jurisdiction of other government departments be brought under the aegis of the Advanced Education portfolio. (p.29)
>
> Recommendation 17.
> That all institutions be placed under the direct jurisdiction of Boards of Governors. (p.30)

Also, in 1969 the Commission on Educational Planning was established under broad terms of reference to "enquire into current social and economic trends" and to "study the total educational organization" in Alberta. This Commission's recommendations with respect to higher education included the following statements (Worth, 1972:128):

> Legal authority for each College, institute and university should reside in a predominantly lay governing board. The idea that higher education is too important to be left to educators and students alone, and that it requires surveillance by the larger society, is strongly supported by many Albertans.
>
> Membership on each board of governors should provide for representatives of the public-at-large, the staff and students, and the president of the institution.

> Participation of all groups affected by the board's decisions is thereby enhanced.
>
> Together public and institutional board members create the checks and balances central to the democratic process.
>
> Boards of governors can also be effective buffers against selfish or rascally pressures from special interest groups within and without colleges, institutes and universities.

Another force which was developing at this time was the revitalization of the Progressive Conservative party under the leadership of Peter Lougheed. Lougheed (1969) had already stated his party's position on the development of Alberta's postsecondary educational system; he advocated establishment of a plan that would, among other things,

> Reorganize the various Commissions and other governing bodies into one comprehensive Post-Secondary Education Commission to ensure improved coordination of facilities and course contents, allowing for the greatest possible degree of local autonomy. (p.4)

In 1972, a new Conservative government passed the Department of Advanced Education Act, formally establishing a department which now had responsibility for coordinating the entire system of postsecondary education.

Based on the principles and recommendations of Worth and Bosetti, and on its own orientation towards institutional autonomy, the government created boards of governors for the three agricultural colleges and Keyano College in Fort McMurray in 1978. The administrative process of accomplishing the transition from provincial administration to board governance for the four colleges has been documented by

Rozenhart(1980).

The question of independent boards for the institutes of technology continued to be the subject of discussion in the government. A study completed by Alberta Advanced Education and Manpower (1980) concluded that

> There would appear to be nothing inherent in the nature of technical institutes to preclude a change in governance structure for Alberta's technical institutes, i.e., from that of provincially-administered to a more autonomous board-governed organization. (p.10)
>
> The Minister of Advanced Education and Manpower, in approving a board-governed structure for Alberta's technical institutes, could provide those institutes with greater autonomy without forfeiting public accountability. (p.11)

The passage of the Technical Institutes Act in 1981 established the basis for the conversion of the three technical institutes -- NAIT, SAIT, and Westerra -- from provincial administration to board governance by April, 1982. In its "Guidelines for Boards of Governors," prepared to help orient the new board members to their responsibilities, the Department of Advanced Education and Manpower (1982) echoed many of the principles developed and enunciated ten years earlier by Worth (1972) and Bosetti (1972).

Thus, in 1985, the Alberta postsecondary education system had achieved a balance between public control and institutional independence through the existence of a number of institutions administered by local boards of governors but coordinated centrally by a single government department, Alberta Advanced Education. After two decades of research, discussion, and legislative activity, the higher education system in Alberta represented one approach to managing the tension between public input to higher education and local autonomy for educational institutions.

Saskatchewan

Sheffield (1982:146) has noted that "although they were created during the same decade and their geographic, demographic and social characteristics were similar, Alberta and Saskatchewan have pursued quite different courses in the development of higher education." The governance arrangements that developed in Saskatchewan non-university postsecondary education were different from those described above for Alberta, and the issues that shaped the evolution of these arrangements were somewhat different in their emphasis. While Alberta policy makers grappled primarily with the question of balance between public ontrol and institutional autonomy in the 1960s and 1970s, their Saskatchewan counterparts maintained a stance of centralized control over institutional operations while striving to achieve the appropriate degree of community participation in academic governance.

The growth and development of technical institutes in Saskatchewan began in the fall of 1960 with the opening of the Saskatchewan Technical Institute in Moose Jaw to provide training in all apprenticeship programs as well as a growing number of technologies. A second technical institute was opened in Saskatoon in 1963 to expand the technical training capacity of the province. Based on a manpower planning model of program development, these technical institutes were established as provincially administered institutions. The view of technical institutes as vehicles for the delivery of provincial manpower training programs in support of primarily government identified economic development initiatives has been maintained to the present time. Thus, the provincial administration model of governance was still in place at the time of this study, with no effects being felt from the debate on governance structure for the community colleges in the province.

In Saskatchewan, as in Alberta, much of the discussion, research, and legislative activity related to the governance of non-university institutions was centered on the community college sector of postsecondary education as it emerged, grew, and developed in the late 1960s and 1970s. Based on a principle of rural society revitalization, the Saskatchewan community colleges were conceived and established with emphases on community self-help, adult life long education, and responsiveness to local needs (Dennison and Gallagher, 1986). As early as 1956, a Royal Commission (1956:282) had commented on the role of continuing education as a factor in the quality of rural life in Saskatchewan by noting that the "opportunity should be provided for the stimulation of self-study and personal growth." The Commission report stimulated the creation of the Continuing Education Branch of the Department of Education and the establishment of an Institute for Community Studies at the University of Saskatchewan.

As had occurred in Alberta in the late 1960s, an examination was undertaken in Saskatchewan of the desired developmental directions for higher education. A report by Riederer (1970) recommended the establishment of junior colleges that would provide a comprehensive range of adult education programs in both rural and urban locations. This proposal was viewed favorably by the provincial Liberal government of the day which had endorsed a centrally coordinated provincial postsecondary education system. With the election of new NDP government in 1971, however, this proposal was subjected to re-examination.

A Minister's Advisory Committee on Community Colleges gathered views from across the province in 1972. Its recommendations were based on a belief in a strong community role in edcuational planning, as noted in the following statement (1972:7):

> The sense of community in rural Saskatchewan, built on traditions of community participation and cooperation blended with self-help, is among the province's most valuable attributes.

The Community Colleges Act of 1973 defined fourteen community college districts and created regional boards made up of four to seven community residents and the Principal of the college. These colleges were designed as brokerage agents for programs and courses at established institutions -- the universities and technical institutes -- with few, if any, permanent reources of their own. Campbell (1975:57) described the arrangement in the following way:

High priority is given, not to buildings and campuses

> but, rather, to extending through community organization the services of the universities, institutes of technology, the provincial library and other government agencies. Saskatchewan is creating a new structure that emphasizes learning arrangements, rather than a physical plant; the structure is concerned more with its relation to other agencies than with the colleges as an institution per se.

A strong emphasis on community participation in identifying and meeting local and regional education and training needs was built into the governance structure of the community colleges through the use of regional boards made up of lay representatives of the community. Control over the resources associated with full-time technical training programs, however, was retained by the provincial government through its direct administration of the technical institutes. Thus, in 1985, the non-university components of the postsecondary education system were essentially centrally governed by the provincial government, with regional boards for the community colleges that planned and coordinated the delivery of programs to meet local educational needs.

NATURE AND ROLE OF POLICY

The purpose of this part of the chapter is to provide a conceptual orientation to policy and to review some models of the policy process. Initially, the definition and the role of policy are considered. In the final section some of the literature on models of the policy setting process are reviewed.

Definition of Policy

Before discussing the role of policy, it is useful to examine the range of definitions that have been used to describe what is meant by policy. Dror (1968:12) defines policies as "major guidelines for action directed at the future." This rather succinct statement imparts a forward looking, planning orientation to policy. After some discussion, Anderson (1975:3) arrives at a definition that has more of a problem solving focus; he defines policy as "a purposive course of action followed by an actor or set of actors in dealing with a problem or matter of concern." Both the problem solving and future oriented aspects of these definitions are reflected in the definition of policy adopted by Alberta Advanced Education(1980); a policy developed by that Department is "a philosophically-based, goal-orientated, problem-centered guide to future discretionary action." Thompson and Strickland (1980:16), two writers in the business area, define business policy as "the organizational methods, procedures, rules, and practices associated with implementing and executing strategy."

Out of this series of definitions, two common features are evident. First, a policy is an explicit statement made by an organization. Second, the statement may be motivated by different organizational needs. The two most common needs seem to be either to solve an existing problem by offering a framework for action, or to enunciate a philosophical stance regarding how to deal with new forces acting on the organization.

The definitions reviewed above are not explicit about how broad or narrow the scope of the policy issue might be. Paltridge et al. (1973) examined the decision patterns of twenty boards of trustees of four-year colleges. They categorized the policy decisions into three levels:

1. Level I policy, involving the broadest ethical issues, was termed "legislative" policy.
2. Level II policy, which concerned issues of control and levels of authority within the organization, was designated "managerial" policy.
3. Level III policy, which specified rules for implementation of actions, was called "operational or working" policy.

Most definitions of public policy imply the broad, legislative level of policy decision making by their tone. The definition of business policy included above, however, seems to apply more to the managerial and working levels of policy decisions. In the business area, legislative policy activity is often referred to as strategic planning, emphasizing the forward looking aspect of policy development.

To summarize this section, one further definition of policy developed by House (1982:133) is cited: "policy, reduced to its essence, is an official statement of 'how things are going to be done around here.'" This statement emphasizes policy as a guide to action, now or in the future, in public or private organizations, on general or specific issues.

Role of Policy

From the definitions of policy reviewed above, it is possible to infer some statements about the role of policy as an organizational activity. Steers (1977) sets forth four functions of formal organizational policies; although Steers does not talk about these functions in terms of their level, it is possible to apply Paltridge's terminology to the policy functions of Steers (1977:139-40) as follows:

1. At the operational level, "policies provide guidelines for routine decision making by employees."
2. At the managerial level, " policies can improve interdepartmental coordination."
3. At the legislative level, " policies facilitate continuity of action over time."
4. Finally, "policies often reduce the chances that earlier mistakes will be repeated." This statement could apply equally well to all three levels of policy decision making.

On the topic of improving public policy, one common theme among several writers is summarized by Schreiber (1983:250) as the need for

> enhanced receptivity to contemporary environmental data, the capacity for informed experimentation, and the use of data from that experimentation to inform and reform assumptions about an organization's internal and external environments.

This statement, in addition to emphasizing the importance of environmental scanning, adds the notion of organizational learning to considerations of an organization's policy setting activity over a period of time. In her discussion of how policy research is used by policy decision makers, Weiss (1982:301) notes that policy evaluation "represents a mechanism for learning at the organizational level." Thus, in addition to the four functions of policy described by Steers, the work of other authors indicates that two additional functions which should be added are:

1. Policies can provide a structured approach for the organization to detect and manage future issues that emerge from the environment.
2. The cycle of policy setting and policy evaluation facilitates organizational learning over time.

With this understanding of what policy is, and what roles it plays in organizations, some models of the policy setting process are now reviewed.

Models of the Policy Process

Interest in models of the policy setting process has arisen in the aftermath of the large scale government funding of social programs during the Great Society era in the United States. The great expectations held for public policy and government intervention in those days of the late 1960s were not fulfilled. However, these programs have provided fertile ground for the study of how public policies were set and implemented.

The field of policy studies (see, for example, Nagel, 1980; Dunn, 1981) has been developed primarily with two purposes in mind: (1) to study the process of public policy setting in order to construct descriptive models of the process, and (2) to develop improved techniques for the full range of policy activities, from problem structuring through development of policy alternatives, choosing policy actions and implementing policy to evaluating policy performance. One view, offered by Bauer (1968:4) during the early days of program evaluation research, is the following:

> This is about where our understanding of the process of policy formation stands: we have the accumulated experience of human history, many men who have mastered much skill and judgement, but we are merely beginning to systematize our comprehension of what the process of policy formation is about.

More recently, Weiss (1982:288) has commented that "the enterprise, in short, is meant to use the methods and techniques of social science in the service of rational allocation of resources and the improvement of welfare policy."

The discussion of the policy process in this paper provides a brief review of some models of policy making taken from the policy sciences literature. Various writers (Dye, 1981; Frohock, 1979; Anderson et al., 1978) have described a wide variety of models elsewhere. Of those described, the following four are summarized here: (1) institutionalism, (2) group theory, (3) elite theory, and (4) systems theory.

Institutionalism. This approach to understanding the policy process views policy setting as intimately related to institutionalized, governmental structures. Dye (1981:20) states that "public policy is authoritatively determined, implemented, and enforced by governmental institutions." As a way of looking at the policy process, this frame of reference focuses on how existing structures in government facilitate some policy outcomes and impede other policy outcomes.

Institutionalism, then, stresses the relationship between societal structures and public policy. This emphasis on formal structures is reminiscent of the bureaucratic frame of reference in organizational theory. One is reminded, however, that policy outcomes are not determined solely by institutional structures, but that other factors such as the participants and the political environment also influence the shape of public policy. Group theory, elite theory and systems theory address these significant aspects of the policy process.

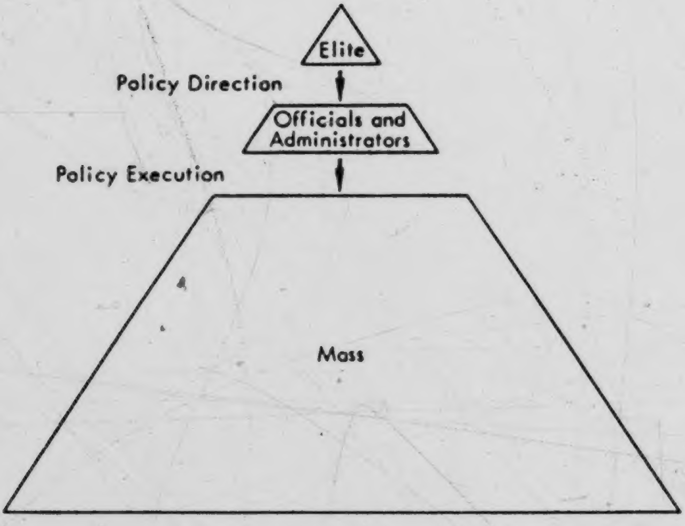
Group theory. This model views public policy as the outcome of bargaining, negotiating, and compromising among groups which are competing to influence the policy setting process. Public policy, then, is the result of a group struggle and represents the interests of the dominant group.

A model which sees policy setting as a bargaining process emphasizes the conflicting nature of the policy alternatives under consideration; it emphasizes the importance of the dynamics amoung groups and their influence on policy formation. Again, however, little attention is paid to the role of entrenched governing officials or other environmental forces.

Elite theory. This frame of reference views policy as primarily dependent on the preferences and values of a governing elite. In this model, the power to determine policy values is concentrated in a small group of people, usually drawn from the top socioeconomic strata of society. Because of the relative homogeneity of values among members of the governing elite, admission to the group depends on one holding similar political views and societal values. This dynamic of gaining access to the elite group acts to preserve the consensus on current policy values, and leads to only incremental policy changes over time.

According to this view, then, policy formulation is a very different process than that envisioned by group theory. Rather than public policies reflecting the outcome of a struggle among interest groups (which could result in major discontinuities in policy values), public policies are set by a governing elite that shares a relatively uniform set of values about how society should operate. This governing elite determines policy with little, if any, reference to the general public. A diagrammatic representation of elite theory (see Dye, 1981:29) is shown in Figure 1.

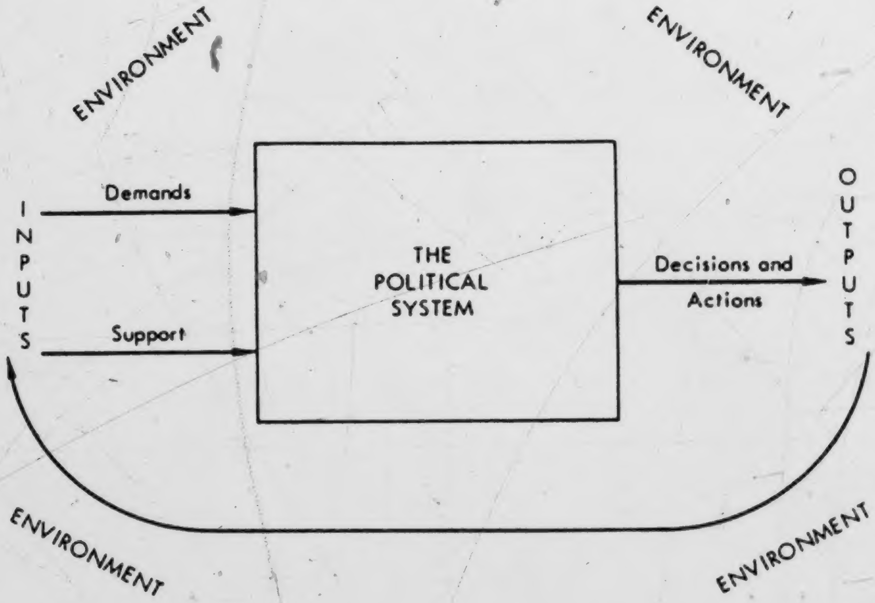
In some respects, elite theory represents a combination of institutionalism and group theory. It indicates that some groups may gain a significant advantage in influencing, even controlling, the policy process by occupying key positions within the established structures of government institutions. It is one view of how structure may mediate between interest group activity and policy choices.


Elite
Policy Direction
Officials and Administrators
Policy Execution
Mass

The elite model

Figure 1

Systems theory. Many academic disciplines use systems theory to model the relationships among key elements, as well as the dynamics of their interrelationship. Policy researchers have utilized the open systems view to depict the policy setting process. In systems theory, public policy is the response of the political system to the demands arising from its environment. The components of the political system, as described by Dye (1981:42), are shown in Figure 2. Demands are the claims made by individuals and groups on the political system; support for the system occurs through payment of taxes, compliance with laws, and acceptance of the formal authority of the government. The decisions and actions which are the outputs of the system constitute public policy. The feedback loop indicates that policies have an effect on the environment and thereby alter future demands on the system.


ENVIRONMENT
ENVIRONMENT
INPUTS
Demands
Support
THE POLITICAL SYSTEM
Decisions and Actions
OUTPUTS
ENVIRONMENT
ENVIRONMENT

The systems model

Figure 2

The systems model broadens one's view of the policy process by showing that policy setting is dependent on several elements and on their relationship to one another.

Although this approach is not explicit about the nature of the processes within the political system, it does draw attention to the various elements and implies several questions that must be investigated (for example, how do environmental inputs affect the content of public policy?) in order to understand the system dynamics.

Nature of the Policy Setting Process

Empirical studies of the policy setting process have accumulated to the point that some comments about the nature of the process can be made. The most common view is that policy formulation is a highly complex process. Lindblom (1980:15) characterizes policy making "as an extremely complex process without beginning or end and whose boundaries remain most uncertain." Majchrzak (1984:15) states that the complexity of the process occurs "because it is composed of numerous different actors, operating at different policy making levels and juggling a myriad of different policy mechanisms." Specifically with respect to higher education, Taylor(1980) studied policy development on the issue of faculty appointments, promotions, and terminations; he concluded that

> policy-making in universities can be viewed as a network of policy-making systems, each of which is temporary in nature and is initiatated in response to stresses in the institution's operating environment. Each policy-making system is itself a network of issues and actors who function in interaction with their environment, progressing in heuristic manner toward a vaguely defined policy goal.
>
> (p. 224)

In view of the statements cited above, the aspects of structure (institutionalism), participants (groups and elites), and systems (systems theory) are all important to a complete understanding of the policy setting process. As for most topics related to educational administration, the challenge for researchers is to work towards a model of policy setting that assists those people responsible for academic governance to improve their capabilities to deal with policy issues. This study attempted to reduce the apparent complexity of the policy setting process by focusing on the component parts of the process. The conceptual framework that was used to do this is described below.

Conceptual Framework

The conceptual framework utilized in this study treated the process of policy setting as an organization within the larger institutional context. The concept of a policy organization described by eight organizational design elements was adopted from Meltsner and Bellavita (1983). Thus, to describe and compare various cases of policy setting, it was necessary to gather data on each of the organizational design elements, or components, of the policy organizations.

Taylor (1980:61) employed a similar model in his study of policy development at the university level; he stated that

> the principal assumption underlying the conceptual model is that policy-making in an organization functions as an open system and, therefore, possesses the characteristics of open systems that have been observed in other settings.

Taylor used five components -- environment, processes, actors, issues, and outcomes -- to identify and describe what he termed to be "a policy-making system (or PMS)." In an analogous manner, Meltsner and Bellavita (1983:70) commented

> We need some way to simplify the richess and complexity of organizational theory so we can develop a working tool for managers and analysts. One approach was to develop a checklist of key categories that could be used to describe the functioning of an organization.

The present study made use of eight elements -- goals, membership, environment, structure, resources, tasks, decision making, and communications -- to identify, describe, and compare the policy organizations associated with the development of four policies. These eight elements of the policy organization are described more fully below.

Structure. The principles of division of labor and specialization of tasks in organizations have led to a variety of formal structural arrangements (Scott, 1981). The element of formal structure has an important effect on other organizational design components, such as goals, tasks, decision making, and communications. Thus, structure, like goals, is often a desirable starting point for understanding and analyzing organizations.

For the purposes of presenting the findings of this study, the element of structure was described first. This provided a framework within which the other seven organizational design elements could be discussed.

Goals. Virtually all systems models of organizations include goals as one element (Scott, 1981:58). This inclusion is derived from the rational point of view that organizations are social systems created to achieve certain goals. Thus, the identification of organizational goals often forms the starting point for an understanding or an analysis of other components of the organization, such as structure, resources, and tasks. Since goals are a controllable variable, they are an important consideration when initiating change in an organization.

For the purposes of this research, the participants were asked to identify the goals of the individual policies selected for study. The goals identified in this way were taken to be indicative of the goals of the policy organization for the policy being examined.

Members. The Human Relations school of organizational behavior (Scott, (1981:86) heightened the awareness of researchers to the importance of individual goals and informal structures in organizations. As a result, all models of organizational dynamics include a human element; in the conceptual model employed here, this element is termed members.

The present study identified who the members of the policy organizations were, what the basis for their membership was, what their role in the organization was, and what the nature of their participation was.

Environment. The major contribution of the open systems theorists (Lawrence and Lorsch, 1967) was to recognize that organizations were becoming increasingly open to external environmental forces. Organizational processes occur within the context of an internal task environment and an external environment.

As a result of public funding of higher education, the policy setting processes of the technical institutes participating in this study were subject to a variety of forces from external and internal constituents. The survey questionnaire was used to gather information on the extent of influence of external environmental forces, as well as on the degree of uniformity and understanding that existed in the policy organization of internal and external points of view.

Resources. The type of resources used and their allocation within an organization affect the nature of the processes that occur. Meltsner and Bellavita (1983:77) comment that "in each particular role, whether formal or informal, there will also be a set of resources, so that the occupant of that role can accomplish the particular task that is assigned to it." The resources used to accomplish the policy setting process were identified for each policy organization through the use of the survey questionnaire.

Tasks, decision making, and communications. Meltsner and Bellavita (1983:78) characterize these three components as the control design elements which "refer to the more dynamic elements of organizational life." The nature of the tasks performed in an organization is related to the element of structure, through the degree of task specialization, and to the element of members, in terms who carries out certain tasks.

Decision making is the process of choosing among alternative courses of action in order to achieve organizational goals effectively. Because of its importance and complexity, decision making has been studied thoroughly (see, for example, Allison, 1971), and various models of the process have been developed. The literature cited earlier in this chapter characterized academic governance as essentially a decision making process. Thus, the various models of academic governance reviewed earlier represent different views of the academic decision process, including decisions related to policy setting.

The element of communications is an organizational process that is often cited (Steers, 1977) as an important component of organizational effectiveness. From a structural point of view the channels of communication reflect the pattern of information flow within the organization. From an interpersonal point of view, communication involves behavior exchanges. In this study, the structural aspect of communications within the policy organization was examined to gain a more complete picture of the policy setting process.

SUMMARY

A review of the literature related to both the academic governance and the policy making aspects of this study was provided in this chapter. Initially, a number of definitions of academic governance were examined; four different views of the governance process were described and analyzed in terms of their applicability to educational organizations. A review of the four models of academic governance concluded that no single approach provided the best understanding of all facets of institutional governance; rather, the different models offered complementary views of the structures and processes of postsecondary educational institutions.

The second section of this chapter described the historical development of the non-university institutions -- technical institutes and community colleges -- in Alberta and Saskatchewan. In particular, the issues related to the evolution of the governance structures of these institutions were discussed. This section identified two central issues in the development of institutional governance arrangements: (1) the degree of centralized government control over the governance process, and (2) the degree of participation by stakeholders in the governance process. These two issues formed the basis for a major part of the structural interview phase of data collection in this study.

The final section of this chapter dealt with the nature of the policy setting process. After a discussion of the definition of policy and the role of policy in organizations, four general models of the policy making process were described. A summary of the nature of the policy setting process led to a description of the conceptual framework utilized in this study to examine policy setting in two technical institutes.

This review of the related literature attempted to identify the general theoretical and historical contexts for the present study. The next chapter describes the specific research design and methodology considerations that were applied to the investigation of the research questions posed in Chapter 1.

CHAPTER 3

RESEARCH DESIGN AND METHODOLOGY

This chapter is divided into three sections: (1) research design, (2) instrument development and validation, and (3) the research methodology employed in this field study.

RESEARCH DESIGN

Statement of the Problem

The purpose of this study was to examine two cases of policy setting in each of two technical institutes in order to describe and compare the policy organizations that developed in response to two different academic governance structures.

The study addressed the following specific questions:

1. What is the nature of the policy organization, as described by the following eight organizational design elements, by which policies are set for the institution?
    1.1 Goals

    What are the goals of the policy?

    1.2 Members

    What is the nature of the membership of the policy organization?

    1.3 Environment

    What is the nature of the environment of the policy organization?

1.4 Structure

What is the formal structure of the policy organization?

1.5 Resources

What organizational resources are allocated specifically to the policy setting process?

1.6 Tasks

What is the nature of the tasks performed by the members of the policy organization?

1.7 Decision making

What is the nature of the policy decision making process?

1.8 Communications

What is the nature of the communications that occur within the policy organization?

2. How do the policy organizations compare for the two different academic governance structures?

3. What is the nature of institutional governance at the two technical institutes, as described by the following three general characteristics of governance structures and processes?

3.1 Institutional autonomy

What is the nature of institutional autonomy?

3.2 Participation in academic governance

What is the nature and extent of participation in academic governance?

3.3 Organizational climate

What is the nature of the organizational climate?

4. How do the general characteristics of institutional governance compare for the two different academic governance structures?
5. To what extent are the general characteristics of institutional governance evident in the nature of the policy organizations?

Nature of the Study

This research was a two-site study in which the field work was carried out in three phases. The first phase involved the identification and choice of specific policies for detailed examination. The second phase involved the collection of basic descriptive data, using a survey questionnaire, that could be used to compare the policy setting processes for the two academic governance arrangements being studied. The final phase of the field work involved the collection of qualitative data related to the general characteristics -- the structures and processes -- of institutional governance for the two academic governance structures being investigated; this phase of the research employed structured interviews. Throughout these three stages of activity, documents related to both the specific policies studied and the general features of institutional governance were identified and acquired as general supporting background information.

The three phase methodology described above was chosen to combine the strengths of survey research and case study research. The dominant approach to descriptive and comparative studies of non-university institutions in Alberta has been that of survey research; examples include the studies by Day (1971) and Bosetti (1975). Research on policy formulation, however, has utilized primarily the case study of an individual policy issue at a single institution; examples include the studies by Long (1979), Small (1980), and Taylor (1980).

Both survey research and case study research have strengths and weaknesses associated with them. Warwick and Lininger (1975:9) define three conditions in which the sample survey is an appropriate means of gathering data:

> when the goals of the research call for quantitative data, when the information sought is reasonably specific and familiar to the respondents, and when the researcher himself has considerable prior knowledge of particular problems and the range of responses likely to occur.

The case study approach, however, is more appropriate when the research concerns an examination of complex relationships on subtle patterns of interaction. Merriam (1985:206) characterizes case study research as follows:

> Rather than surveying a few variables across many cases, the case study intensively examines the interplay of all variables in order to provide as complete an understanding of the phenomenon as possible.

A second contrasting feature of these two research techniques is the ability to capture the dynamic nature of events. A survey reports individual responses at a point in time; a time series of surveys is necessary to track changes over a period of time. The case study methodology allows for the examination of ongoing processes. Heclo (1972:94) comments that

> by relating events to antecedent contexts, the case study technique can identify novelty and in this sense deal with tranformations rather than simply motions of policy making.

One of the key advantages of the survey is that the data obtained may be easily classified and manipulated in standardized ways. The complexity of the data obtained in case studies allows for flexibility of analysis; however, the lack of standardized formats for manipulating case study data is one shortcoming of the state of case study research noted by Merriam (1985) and Heclo (1972).

Finally, the two techniques differ in the degree of generalizability that is possible. Warwick and Lininger (1975:11) put it very clearly:

> The greatest single advantage of a well-designed sample survey is that its results can be generalized to a larger population within known limits of error. The greatest weakness of most observational studies is that the limits of generality are unknown.

In summary, each method is useful for some purposes and inappropriate for other purposes. The present study was designed as a two-site case study that utilized a survey questionnaire to gather basic comparative data, as well as in-depth interviews to examine four separate cases of policy setting. In this way, it was possible to provide both greater detail related to the individual cases of policy setting than would have been possible with a survey questionnaire alone, and more comparative data on specific points than would have been possible from four separate case studies.

Selection of the Sites

Two technical institutes in western Canada were selected for participation in this study. The two organizations chosen were the Northern Alberta Institute of Technology (NAIT), a board governed institution in Edmonton, and Kelsey Institute of Applied Arts and Sciences, a provincially administered institution in Saskatoon.

The selection of these institutions was made on the basis of three considerations. First, because the nature of governance arrangements for technical/vocational institutions in western Canada was changing, this study was designed to examine the effects of different governance structures on the operation of two technical institutes. As noted in Chapter 2, the governance arrangements for technical training institutions in western Canada had been the subject of research and debate since the late 1960s. In 1974, a period of change in the governance structures of technically oriented institutions began when the British Columbia Institute of Technology (BCIT) was converted from provincially administered to board governed status. This was followed by a similar change in governance structure for four agricultural/vocational institutions in Alberta in 1978, and for the three technical institutes in Alberta in 1982. Most recently, in 1985, the Government of Manitoba took a step towards institutional autonomy for its three provincially administered technical institutions by creating advisory boards as part of the institutional governance structure.

Thus, in January of 1985, when the selection of sites for this study was made, the population of technical institutes in western Canada consisted of three provincially administered technical community colleges in Manitoba, three provincially administered technical institutes in Saskatchewan, three board governed technical institutes in Alberta, and one board governed technical institute in British Columbia. From this group of ten, it was decided to choose two institutions, one which was provincially administered and one which was board-governed.

Second, comparability was sought with respect to the environmental context of the institutes to be studied. Both institutions chosen were originally created in the early 1960s in response to the _Technical and Vocational Training Assistance Act_, began their existence as provincially administered institutions, were located in major centres of population in their respective provinces, and delivered a similar range and type of technical training programs.

A final consideration in the choice of the sites was to select institutions which were experiencing a relatively stable internal environment at the time of the study so that the policy setting structures and processes would reflect the normal response of the institutions to policy issues in their environments. A number of the technical institutes were undergoing major internal changes at the time this sample was selected. Both NAIT and Kelsey Institute, however, were experiencing a high degree of stability with respect to their institutional structures, processes, and personnel at senior levels.

Selection of the Policies

Two policies at each institution were selected for detailed study. At NAIT, the policies were those on performance appraisal and international education; at Kelsey, the policies on competency based learning and student counselling and discipline were chosen.

The selection of these policies was made on the basis of five criteria. First, one academic policy and one administrative policy were chosen at each institution. Second, the policies selected must have been set within the last two years; that is, they must have received final approval since January, 1983. Third, the sample was limited to policies that dealt with broad institutional issues; that is, the policies were, in Paltridge's (1973) terms, at the legislative level. Fourth, policies were selected which had a pervasive influence on the institution because they affected a large number of people in the organization. Finally, where possible, policies which were comparable between the two institutions would be selected.

At NAIT, eleven policies had been approved in the period between January, 1983 and January, 1985. Of these, however, several were of an operational nature, and only three were judged to be legislative in nature -- two personnel policies and one academic policy. The policy on international education was selected at this point as the academic policy; it did not meet either of the additional criteria of pervasiveness and comparability. Of the two personnel policies, the performance appraisal policy was judged to be the more pervasive, affecting all staff in the Institute, and was selected as the administrative policy.

At Kelsey, six policies had been approved since January, 1983. Of these, only two policies were of a legislative nature. Thus, the policy on competency based learning and the policy on student counselling and discipline were selected early in the sequence of criteria as the academic and administrative policies respectively. These two policies also met the criterion of pervasiveness, but not the criterion of comparability.

Structure of the Study

The overall structure of the study is shown below in Table 1. This table summarizes the components of the study. At one level, four individual cases of policy setting were examined. At the next level, a general picture of the policy organization for each institution was developed. At the most general level, the characteristics of the two academic governance structures were investigated and linked to the features of the policy organizations.

Table 1

Components of the Study

Policies studied	Institutions	Academic Governance Structures
Policy 1 - Performance appraisal Policy 2 - International education	Northern Alberta Institute of Technology	Board Governance
Policy 3 - Competency based learning Policy 4 - Student counselling & discipline	Kelsey Institute of Applied Arts & Sciences	Provincial Administration

INSTRUMENT SELECTION AND DEVELOPMENT

Two instruments were developed in order to gather data on the respondents' perceptions of some specific aspects of the policy setting process and of some general characteristics of institutional governance. In order to measure the views of all study participants on the features of the policy setting process, a survey questionnaire was designed that would provide a basis for comparison between the policies within each institution as well as between the two institutions. Structured interviews were used to both gather information on the general characteristics of the two different academic governance structures and enrich the survey data on the individual cases of policy setting.

The development of the survey questionnaire was based on the use of the eight organizational design elements defined earlier as part of the conceptual framework for this study. These elements had been used by Meltsner and Bellavita (1983) as a guide for producing open-ended interview questions in their case study of the California State Department of Education's policy on pupil proficiency assessment. A search of the literature revealed that no similar approach had been used to produce a validated closed response questionnaire. Thus, the design of a new instrument was required.

The structured interview questions were prepared after the analysis of the questionnaire data was completed. The questions were designed to amplify or clarify the data from the questionnaire. In addition, a number of questions related to the nature of institutional governance at the two technical institutes were used.

Perception Formation

This study utilized the perceptions of the respondents as the principal source of data. It was noted in Chapter 1 that the gathering of perceptual data through survey questionnaires and structured interviews represented a limitation on the validity of the data. This limitation is related to the fact that individual perceptions are based on one's perceptual set and are thus subject to bias or distortion. The concept of set refers to the readiness of a person to make a particular response; a perceptual set is a readiness for a particular organization of stimuli.

Perception was defined in Chapter 1 as "the means by which stimuli affect an individual" (French, Kast, and Rosenzweig, 1985:147). The process of perception formation occurs in the context of an individual's pattern of activities. Stimuli are organized not only to fit with one another but also to fit the requirements of the perceiver's ongoing activity --what one is thinking, feeling, or trying to do. Thus, the perceiver has the readiness and expectations that help to govern the way he will perceive the stimuli in his environment. For example, on hearing the words "pork and", one is ready to hear "beans" even when the word actually spoken is "greens."

The dynamics of perception formation, then, underlie the process of gathering data in this study. Notwithstanding the potential for perceptual bias on the part of the respondents, it was assumed that the key actors could accurately recall and describe the various aspects of the policy making process.

Survey Questionnaire

The survey questionnaire was designed to gather data in response to questions 1.1 to 1.8 based on the eight organizational design elements identified in the conceptual framework. Closed response items were used to facilitate the comparative analysis required to address question 2.

An initial draft of the instrument was prepared by the researcher. This questionnaire was subjected to a pilot study to check the content validity of the instrument. A panel of six people in positions similar to those of the participants in the actual study was used to validate the questionnaire items, and to obtain general comments and constructive criticism on the design of the instrument. A list of the panel members and their positions is provided in Appendix A.

The panel members were asked to carry out the following activities:

1. Complete the questionnaire as though it was being used to collect information for a particular policy at their institution.
2. Note the length of time required to complete the questionnaire.
3. Complete a modified form of the questionnaire which provided space to rate each item with respect to its clarity and appropriateness. Comments were also solicited regarding the overall approach to each organizational element and the format of the questionnaire as a who[illegible]

A number of questionnaire items were revised on the basis of the ratings and comments made by the evaluators. The four final versions of the questionnaire, one for each policy to be studied, were then prepared. An example of the final questionnaire and transmittal letter to study participants is shown in Appendix B.

Interview Guide

As noted earler in this chapter, the purpose of the interview phase of the study was twofold:

1. To supplement the survey questionnaire data on the setting of specific policies, and
2. To gather data on the general characteristics of institutional governance structures and processes.

Following the analysis of the questionnaire data, it was evident that further clarification and amplification of the elements of structure and decision making were necessary. Therefore, a short series of questions was designed to provide a more detailed picture of the dynamics of the policy setting process by probing more deeply on how the formal structure of policy setting actually worked. A second short series of questions was designed to confirm some aspects of policy decision making that seemed to emerge from the questionnaire responses.

The series of questions related to the nature of the institutional governance structures was based on issues raised in the literature that examined the characteristics of different academic governance arrangements. Much of this literature was reviewed in Chapter 2. For the purposes of this study, the following three issues were selected initially as the focus of the interview questions: (1) the nature and extent of public input to postsecondary technical/vocational education, (2) the nature of institutional autonomy and (3) the nature of the administrative relationships between the institutions and the department of government responsible for higher education.

A fourth issue, that of organizational climate, was identified after the completion of the interviews with the study participants at NAIT. During the discussion of the issues enumerated above, several of the interviewees commented explicitly on how their attitudes towards their role at NAIT had changed as a result of the change in governance structure. These comments were considered by the researcher to form a fourth major category related to the characteristics of institutional governance. Thus, an explicit question on the nature of organizational climate was added to the interview schedule for the Kelsey Institute study. The finalized lists of interview questions for both NAIT and Kelsey are provided in Appendix C.

RESEARCH METHODOLOGY

Permission to Conduct Research

Permission to undertake the study at the selected institutions was sought by contacting the appropriate institutional personnel. At NAIT, the Division of Research and Academic Development was responsible for reviewing the proposed research and recommending a course of action to Executive Committee, comprised of the President and the three Vice-Presidents of the Institute. Approval to conduct the proposed research at NAIT was granted, subject to the following two conditions: (1) that no financial support would be provided by NAIT, and (2) that NAIT personnel would have the opportunity to review the research instruments before they were used on study participants. Appendix D contains a copy of the letter granting permission to conduct the NAIT portion of the study.

To gain access to Kelsey Institute, Dr. A. G. Konrad contacted the Principal, Mr. G. Brown, to introduce the researcher and the nature of the proposed study. This contact was followed by a letter from the researcher providing a one page summary of the research proposal In response to this letter, formal approval to proceed with the Kelsey portion of the study was granted by Mr. G. Brown; Appendix D contains a copy of the letter of approval.

Collection of the Data

Initiation of the study and selection of the participants.

The initial step of entry into the institutions to be studied was accomplished through an interview with the chief executive officer or his designate of each technical institute.. The initial interview was designed to do three things: (1) review the range of recent policy setting activity within the institution and select two recent policies - one academic and one administrative - for further detailed study, (2) identify the key participants in the policy making process for the policies chosen, and (3) obtain a general description of the formal policy setting process.

At NAIT, the initial policy interview was held with the President. All of the objectives of the interview were accomplished, except for the final selection of the two policies to be studied. The range of appropriate policies was narrowed to include approximately four out of the total of twenty NAIT policies set since the conversion to board governance. A follow-up interview with the Vice-President for Educational Support Services approximately one week later led to the final selection of policies and the confirmation of the principal contributors to the setting of those policies; this information is summarized in Appendix E.

At Kelsey Institute, the initial interview was held with the Assistant Principal for Administration. Again, all of the objectives of the interview were achieved, except for the selection of the two policies to be studied. A follow-up telephone interview two weeks later with the Principal of Kelsey Institute led to the final selection of policies and the identification of the key participants in the process of developing those policies; this information is summarized in Appendix E.

One of the policies chosen for study at Kelsey Institute had had substantial involvement of members of the Department of Advanced Education and Manpower. Thus, an initial telephone interview with the Assistant Deputy Minister of the Advanced Education Division was carried out to obtain approval to involve Departmental staff in the study. This approval was readily granted, allowing the researcher to proceed to the second phase of the field work, the administration of the survey questionnaires.

During this initial phase of the research project, documentary material related to the study was gathered. In particular, copies of the policy statements for the policies chosen for detailed examination were obtained.

Administration of the questionnaires. The second phase of field work occurred during June, 1985. During that month, the survey questionnaires were distributed to the study participants within NAIT, Kelsey, and Saskatchewan Advanced Education and Manpower. In all cases, the questionnaires were accompanied by a covering memo from the appropriate institutional representative summarizing the nature of the study and the basis for the organization's participation, and indicating the organization's endorsement of the research project.

At NAIT, the questionnaires for senior administrators were distributed through the Institute's internal mail system, with a transmittal memo from the Director of the Research and Academic Development Division. The questionnaires for members of the Board of Governors were forwarded by courier to their places of work. A total of twenty-one questionnaires were sent out to thirteen study participants. Because of their involvement in the development of both policies being studied, eight of the participants received questionnaires on both the performance appraisal policy and the international education policy . Approximately two weeks after the distribution of the instrument, the first round of follow-up calls was made to those who had not returned their completed questionnaires. A second and final round of follow-up calls was made two weeks after the first round. Eighteen of the twenty-one questionnaires were returned and were included in the subsequent data analysis; this represented a response rate of 86 percent.

At Kelsey, the questionnaires were distributed through the Institute's internal mail system, with a covering memo from the Principal. A total of thirteen questionnaires were sent to eleven study participants; only two of the Kelsey personnel were involved in the development of both policies being studied. No follow-up calls were made by the researcher, and within three weeks of distribution all of the questionnaires were received in Edmonton.

In the Department of Advanced Education and Manpower, the questionnaires were also distributed through the internal mail system, with a covering memo from the Assistant Deputy Minister of the Advanced Education Division. The distribution of the instrument was preceded by a brief meeting between the researcher and four of the study participants in Regina to discuss the nature of the research and the role of the participants in the study. Five questionnaires were sent to five study participants. No follow-up calls were made by the researcher, and within three weeks of distribution all of the completed questionnaires were received in Edmonton. Thus, all of the eighteen questionnaires sent out in the Saskatchewan portion of the study were returned, for a response rate of 100 percent.

Conduct of the interviews. The final phase of the field data collection occurred during August and the first week of September, 1985. During that period, structured interviews were conducted with all but one of the twenty-nine study participants. The interview schedules shown in Appendix C were used, resulting in interview sessions that varied in length from approximately 30 minutes to over 90 minutes in one case. In all but three cases, the interviews were tape recorded in order to facilitate detailed analysis at a future date. In addition, the researcher made notes during the interviews. Of the three interviews that were not tape recorded, one was conducted by telephone, and two were conducted in person on an abbreviated scale due to scheduling problems. One study participant at Kelsey Institute could not be contacted during the on-site visit; no attempt at follow-up was made by the researcher since this participant was a member of a committee whose other four members had all been interviewed.

During the on-site visits to conduct interviews, further salient documentary material was gathered. A list of the materials by source is provided in Appendix F.

Analysis of the Data

Treatment of the questionnaire data. Data gathered on the survey questionnaires were compiled to obtain the frequencies for each response and the mean response for each item. These descriptive statistics were determined separately for each of the four policies studied.

For the organizational design element of structure, an open response approach was used. The responses to this item were consolidated into an internally consistent sequence of activities for each policy. Further clarification of this sequence was sought during the subsequent interview phase of data collection.

A further level of analysis was carried out by comparing the mean responses on each item for the two policies studied within each institution. From this analysis, similarities in the elements for both policies were identified and developed into a general description of the policy organization for each institution. The presentation and discussion of these two levels of analysis are provided in Chapter 4 for NAIT and in Chapter 5 for Kelsey Institute.

A final level of analysis was carried out by comparing the general features of the policy organizations for NAIT and Kelsey. This discussion is presented in the first section of Chapter 6 of the dissertation.

Treatment of the interview data. The analysis of the interview data began with a review of the researcher's written notes from the twenty-eight interviews conducted. The data gathered on the questions related to specific policies and the general processes of policy setting were incorporated into the discussions of the policy organizations at the two institutions.

For the purposes of presentation and discussion of the characteristics of institutional governance, the interview questions were grouped into the following three major categories: (1) institutional autonomy, (2) participation in institutional governance, and (3) organizational climate. The analysis of the interview data was carried out separately for each institution under these three categories. First, the comments of each interviewee were transcribed in summary form and grouped under each of the three major issues. The summary comments were augmented at this point by further notes made from a detailed review of the interview tape recordings. The summary comments for each issue were then sorted into themes on that issue for each institution. The identification of these themes formed the basis for the presentation of the interview data in the middle sections of Chapter 6.

A second level of analysis was conducted by comparing the themes, which were identified in the manner described above, for the two governance structures represented in the study. A final, generalizing analysis was carried out by attempting to apply the themes from the three major aspects of institutional governance to the eight organizational design elements of the policy organizations for each system of academic governance. This discussion is presented at the end of Chapter 6 of this thesis.

Throughout the various phases of data collection and analysis, the researcher tried to ensure the validity of the data in a number of ways. Patterns that emerged from the survey questionnaire responses were verified during the interviews. Also, characteristics of institutional governance that were identified during the interviews were compared to the available documentary material. Finally study participants were asked to clarify information when inconsistencies or questions arose.

SUMMARY

This chapter described the general research design of the study, the specific steps taken to develop the research instruments, and the actual procedures used in carrying out the collection of the data in the field and its subsequent analysis. Throughout this discussion, the underlying rationale for choosing a particular course of action was made explicit through reference to the research literature, other studies, or the exigencies of this particular study that emerged as the research design was implemented.

The overall research design, including the selection of the institutions and the policies to be studied, was outlined in the first section of the chapter. The components of the study were summarized in Table 1 at the end of this section.

The second part of this chapter detailed the steps taken to develop the two research instruments used -- a survey questionnaire and guides for structured interviews. A pilot study was conducted to validate the questionnaire content and format; the procedures used to carry out this pilot study were described.

The final section of this chapter described the detailed activities associated with the field collection of data and the subsequent analyses of the data. Throughout the chapter, reference was made to supporting documentation provided in the appendices of this dissertation.

CHAPTER 4

DESCRIPTION AND ANALYSIS OF DATA FOR THE NORTHERN ALBERTA INSTITUTE OF TECHNOLOGY

This chapter describes and analyzes the data gathered by questionnaires and interviews on the development of two policies at the Northern Alberta Institute of Technology (NAIT). The chapter is divided into three sections. The first section provides a brief historical description of NAIT, its governance, and its policy making. The next section describes the eight organizational design elements for the two cases of policy setting studied at NAIT. The last section develops a general description of the policy organization at NAIT, based on the data described in the second section.

DESCRIPTIVE BACKGROUND FOR NAIT

In response to the Technical and Vocational Training Assistance Act of 1960, planning for a technical institute in Edmonton was completed. Construction of NAIT began in January, 1962. Apprenticeship classes were offered commencing in October, 1962; full-time certificate and diploma programs began operation in September, 1963. Today, NAIT's programs are delivered by four instructional divisions: (1) Engineering Technology, (2) Business and Applied Arts, (3) Apprenticeship, and (4) Continuing Education. In 1984/85, the academic year in which the data were collected, there were 5,941 students enrolled in 63 full-time programs. In addition, 6,192 apprenticeship students were served in 23 designated trade areas.

Created as a provincially administered institution, NAIT continued under the direct administration of the Government of Alberta until March 31, 1982. The _Technical Institutes Act_, proclaimed in 1981, provided for the establishment of Boards of Governors for each of Alberta's three technical institutes, effective April 1, 1982. The composition of the boards was prescribed by the _Act_ to include ten public members appointed by the Lieutenant Governor in Council, the President of the Institute, two academic staff members, one non-academic staff member, and two students.

The use of existing policies and the development of new policies were important in managing the transition from one form of academic governance to another. House (1982:133) defined policy as "an official statement of'how things are going to be done around here.'" Recognizing that it would take a period of time to make the organizational adjustments necessary to accommodate a new governance structure, NAIT adopted the metapolicy that all existing policies at the time of the change in governance would remain in force until new policies were developed. The institution would keep the framework of government policies, guidelines, and regulations in place until it could develop its own, made-in-NAIT policies. This provided important continuity for the conduct of day-to-day business during and after the transition. Even today, some of NAIT's policies and procedures are tied directly to those of the Government of Alberta.

NAIT did not undertake a comprehensive review of all policies affecting its operation; instead policy issues were reviewed as they emerged as items needing attention or adjustment. This stance was a natural consequence of the metapolicy described above; it allowed the organization to concentrate its energies in the short term on the issues that needed immediate attention. The first part of the next section of this chapter describes the origin of the two policy issues examined in this study.

As the process of policy review and development commenced, senior management was confronted by a confused scene of existing policy and pseudo-policy statements in a variety of documents. There was a well defined set of Academic Regulations, a compendium of Institute Positions and Practices, and a set of Government of Alberta Personnel manuals. It was clear that an effort would have to be made to differentiate between institutional policies and institutional practices. In 1984 NAIT adopted the definition of policy then in use by the Department of Advanced Education (see Appendix G). This one-page document itself is a metapolicy statement, as it provides the framework within which policy making will be conducted at NAIT.

The NAIT context may be summarized by the following statement from the Institute's 1983-84 Annual Report(1984:7):

> The Institute's last Annual Report was entitled "Continuity and Change," reflecting maintenance of

> a tradition of excellence in career training in the face of major revisions of operating policies and procedures resulting from conversion to board governance. This report . . . might appropriately be titled "Consolidation and Adaptation" to indicate two parallel sets of priorities. On the one hand, there was an emphasis on refinement and consolidation of administrative changes initiated during the months immediately following conversion; on the other hand, attention was given to adjustment and adaptation to assure program and instructional effectiveness in the context of a recessionary economic environment.

THE FINDINGS

As indicated earlier, the two policies chosen for examination at NAIT were those on performance appraisal and international education. The method of selection of these policies was described in detail in Chapter 3. The initial part of each interview with the study participants probed for the forces that gave rise to each of the policy issues. In the case of both policies studied at NAIT, there were several forces that combined to articulate the need for new institutional policies. For each policy, these forces are described first, followed by a detailed discussion of the eight organizational design elements used to describe the policy organization.

Origin of the Performance Appraisal Policy

As a provincially administered institution, NAIT was subject to the Government of Alberta personnel policies and regulations. Interviews with the NAIT participants indicated that this system was not fulfilling the needs of the Institute before the conversion to board governance. There was also a concern within the NAIT Personnel Office that the quality of performance appraisals being done was not satisfactory.

At the time of conversion, NAIT began a process of both reviewing existing government policies under which it had operated, and establishing new policies necessary to guide the operation of the institution as an autonomous entity. Through this process, together with the conditions noted above, various administrators identified the need for a formal NAIT policy on performance appraisal. This need was reinforced by events which occurred early in NAIT's existence under board governance. During the negotiation of the first collective bargaining agreement between the new NAIT Board of Governors and the NAIT Academic Staff Association (NASA), dissatisfaction with the performance appraisal system was expressed by the academic staff representatives. Also, in the fall of 1982, a review of the management compensation scheme revealed the need to establish more objective means of defining and measuring different levels of job performance. Finally, at the board level there was both an interest among some members in the issue of performance appraisal and the view that an organization's key assets are its human resources. These diverse forces united to produce a sequence of events leading to the development of a policy on performance appraisal which was approved by the President in March, 1984.

Organizational Design Elements for the Performance Appraisal Policy

The research findings related to the eight organizational design elements are presented. The discussion in this section is based primarily on data gathered using survey questionnaires. Interview data were incorporated to support or clarify the issues where appropriate.

Structure. The purpose of gathering information on this element was to answer the question, "What is the formal structure of the policy organization ?" Meltsner and Bellavita (1983:76) note that "organizational structure is a way to divide up the work, specify the roles that members will play, and allocate responsibilities for getting things done." The results obtained for the performance appraisal policy are presented in Table 2 and represent a composite picture based on both the descriptions obtained from the questionnaires and from further clarifying comments provided during the interviews.

The Vice-President of Educational Support Services had an important role in the policy organization at the time this policy was developed. He served as Executive Secretary for both the Senior Officials group and Executive Committee; as such, he was responsible for developing the agenda for these committees to consider, as well as producing the minutes of the meetings. He was also the overall coordinator for assembling policies into the Manual of Policies, Guidelines, and Procedures. This responsibility required him to exercise

Table 2

Respondents' Perceptions of the Formal Structure of the Policy Organization

Task/Activity	Person(s) Responsible
1. Articulation of policy issue	Various; described in previous section
2. Put item on agenda of Senior Officials group for discussion	Vice-President of Educational Support Services (VP/ESS)
3. Sub-committee established to review and address the issues	VP/ESS; Director of Personnel; sub-committee members
4. Review existing practices and procedures; data collection on various systems from other organizations	Director of Personnel; Manager, Employment & Compensation
5. Draft policy and procedure statements	Director of Personnel; Manager, Employment & Compensation
6. Discussions, revisions, and redrafts of policies and guidelines statements	Performance appraisal sub-committee
7. Agenda item -- review of policy proposals by Senior Officials group	VP/ESS; Senior Officials
8. Review of proposed policy with line managers	Deans; Directors
9. Revisions on the basis of feedback	Director of Personnel
10. Agenda item -- review of revised policy and guidelines by Senior Officials and Executive Committee	VP/ESS; Director of Personnel
11. Endorsement of policy statement; recommendation for approval to the President	Senior Officials; Executive Committee
12. Approval of policy statement	President

Table 2 (continued)

Respondents' Perceptions of the
Formal Structure of the Policy Organization

Task/Activity	Person(s) Responsible
13. Agenda item -- presentation, review, and approval of policy by the Personnel Committee of the Board	President; VP/ESS; Personnel Committee of the Board
14. Distribute approved policy to line managers for placement in policy manual	VP/ESS

his judgment with respect to whether an issue was truly a policy issue or simply an operational or procedural issue; Appendix G referred to earlier attempts to differentiate among policies, guidelines and procedures. Once policies were approved, the Vice-President of Educational Support Services was responsible for distributing the policy statement to line managers as an update to the Manual of Policies, Guidelines, and Procedures. This Vice-President, then, was a key person who coordinated many of the activities necessary to facilitate the effective operation of the policy organization.

The data in Table 2 show that the formal structure of the policy organization was made up of several groups that were involved in the policy setting process. Once the policy issue was articulated, the first step in the interest aggregation process occurred through the group known as Senior Officials. This was a group of senior NAIT managers which included the President, three Vice-Presidents, the Deans of the four academic divisions, the Dean of Student Services, the Directors of the six administrative divisions, the Information Officer, and two Executive Assistants to the President. This group met bi-weekly to consider institutional issues of an operational or policy nature.

In the case of the performance appraisal issue, a sub-committee of Senior Officials was formed to do the following: (1) review existing practices, (2) research and explore alternative procedures, and (3) formulate initial policy and procedures statements. The sub-committee membership was comprised initially of the Vice-President of Educational Support Services, the Director of Personnel, an academic Dean, and an administrative Director. The sub-committee was later expanded to include a Chairman of an academic Department.

As a primary actor on the sub-committee, the Director of Personnel took the lead in collecting statements of policy, guidelines, and procedures from other organizations. The Director, together with other members of the Personnel Services Division, compared and reviewed these statements in terms of their applicability to the NAIT environment. From this analysis, an initial draft of a performance appraisal policy was developed; in addition, a proposed set of guidelines for the implementation of the policy was written.

This initial draft of the policy and procedures was then reviewed and modified by the sub-committee prior to presentation to the Senior Officials group by the Director of Personnel. Following an examination by Senior Officials, the draft policy was distributed through the Deans and Directors to line managers for their suggestions and recommendations with respect to the operational impact of the policy. Further adjustments to the policy and procedures statements were based on feedback from line managers. The policy then went back to Senior Officials for a final review and recommendation for approval by the President.

The Senior Officials recommendation for approval was carried forward to the President through Executive Committee, which is the group of three Vice-Presidents meeting regularly with the President. The President's formal approval of the policy was granted by his signing the policy document on March 12, 1984.

In general, policies receive final review and endorsement by either the appropriate standing committee of the board or the full Board of Governors. The main criterion for determining which level of review is appropriate is the degree to which the policy represents a significant change from current Institute practices. This judgment is made principally by the President.

Following approval by the President, the performance appraisal policy was presented to the Personnel Committee of the Board for review and endorsement by the committee members. The Personnel Committee was made up of seven members: (1) four public members of the Board of Governors,

(2) the Director of Personnel (now entitled Human Resource Services), (3) the President (ex-officio), and (4) the Chairman of the Board of Governors (ex-officio). In addition, other officers of the Institute may participate on the committee, where appropriate. This committee endorsed the performance appraisal policy statement, with substantial discussion on the related guidelines. The approved policy and guidelines were communicated to line officers and were placed into NAIT's Manual of Policies, Guidelines, and Procedures. At present, further work by the performance appraisal sub-committee of Senior Officials is continuing with the the purpose of establishing the detailed guidelines and procedures for the implementation of the policy.

This description indicates that there was a well developed hierarchical structure within NAIT for the development of the performance appraisal policy. Much of the policy setting activity related to the performance appraisal issue occurred within three groups -- the Senior Officials group, Executive Committee, and the Personnel Committee of the Board -- that are part of NAIT's line decision making structure. Policy setting was not the only function of these groups, although it was an important one.

The formal structure of the policy organization, then, was comprised largely of formal structural elements of general Institute administration. This feature of the formal structure would be expected to provide some degree of stability to other elements of the policy organization, such as members, tasks, and communications, which are discussed later in this Chapter. In the case of the policy on performance appraisal, additional groups were also involved. An ad hoc sub-committee of Senior Officials was established to carry out some background work on performance appraisal systems. Also, consultation with line managers took place prior to the final review of the policy by Senior Officials.

Goals. The purpose for gathering information on this element was to answer the sub-problem question of "What are the goals of the policy?"

The results obtained for the NAIT policy on performance appraisal are presented in Table 3. These results indicate that the principal goal of the performance appraisal policy was to facilitate the achievement of institutional long term goals. Four other statements were rated as describing the goals of the policy to a moderate extent: these were to (1)formalize institutional commitment to past practices and procedures, (2) update an existing policy, (3) facilitate the achievement of specific institutional short term goals, and (4) set a new direction for NAIT. Addressing an initiative taken by a specific interest group received the lowest average rating as the goal of the policy. In addition, the purpose of the policy was viewed to a relatively small extent to be either to address an issue emerging from NAIT's external environment, or to solve a specific organizational problem.

The goals of the policy seemed to be consistent with the

Table 3

Respondents' Perceptions of the Goals of the Policy

Item	Frequency * 1	2	3	4	5	N	Mean
Indicate the extent to which the following statements describe the goal of the policy.							
1. Set a new direction for NAIT that is perceived to be of strategic importance to the institution	1	1	6	1	1	10	3.0
2. Address an issue emerging from the environment outside of NAIT	4	3	1	1	1	10	2.2
3. Address an initiative taken by a specific interest group	2	5	3	0	0	10	2.1
4. Facilitate the achievement of specific institutional long term goals	0	3	2	3	2	10	3.4
5. Facilitate the achievement of specific institutional short term goals	1	1	4	4	0	10	3.1
6. Solve a specific organizational problem by establishing new guidelines and procedures	3	2	5	0	0	10	2.2
7. Formalize institutional commitment to past practices and procedures	1	1	3	5	0	10	3.2
8. Update an existing policy	1	1	4	3	1	10	3.2

* The scale used for these items was : 1 = not at all; 2 = to a small extent; 3 = to a moderate extent; 4 = to a great extent; 5 = to a very great extent

forces described earlier which initiated the consideration of the performance appraisal issue. The need for more effective management of NAIT's human resources over the long term was expressed by several respondents as a factor in identifying performance appraisal as an area for policy making. While it was linked to long term institutional goals, the new NAIT policy was an update of the Government of Alberta policies and guidelines on performance appraisal. Also, there was a feeling among some respondents that the new policy was an important step to take in order to reconfirm NAIT's commitment to a valid and reliable performance appraisal process as a method of evaluating the performance of its personnel.

Even the three goal statements -- numbers two, three, and six -- that were rated relatively low as goals of this policy can be related to factors which were the antecedents of the policy setting process. Performance appraisal was an area in which procedures were prescribed for NAIT by government operations external to the institution. Also, a specific interest group, the NAIT Academic Staff Association, through the collective bargaining process, had expressed the desire to seek ways to improve the manner in which performance appraisals were carried out. Finally, respondents indicated during the interviews that the quality of performamce appraisals was felt to be a specific problem within NAIT prior to setting the new policy.

There was some degree of correspondence, then, between the forces identified as initiating consideration of the policy issue and the goals of the policy once it was established. In this case, the survey questionnaire data indicate that the development of the NAIT performance appraisal policy was related principally to the goal of achievement of institutional long term goals.

Members. The purpose for gathering information on this element was to answer the sub-problem question of "What is the nature of the membership of the policy organization?"

The results obtained for the NAIT policy on performance appraisal are presented in Table 4. These results show that, to a great extent, involvement in the policy setting process occurred as a result of an individual's membership in a group that was part of the formal structure of policy setting at NAIT. Inclusion in policy setting on the basis of one's membership in an interest group affected by the policy occurred to a moderate extent, while knowledge and expertise in the subject matter related to the policy issue was the basis for involvement to the smallest extent.

The role of those involved in setting the performance appraisal policy was, to a moderate extent, that of offering concerns and ideas on the policy as it was developed. Other roles performed to a small extent were those of preparing the initial policy statement, or granting final approval to the policy.

The remainder of the results in Table 4 indicate that several features of member behavior -- employing specific

Table 4

Respondents' Perceptions of the Nature of the Members of the Policy Organization

Item	Frequency * 1	2	3	4	5	N	Mean
Indicate the extent to which the following statements are true regarding your role in the policy making process.							
1. I was involved in the policy development process because of:							
a) my knowledge and expertise in the subject matter related to the policy	2	1	5	2	0	10	2.7
b) my membership in an interest group affected by the policy	2	1	2	4	1	10	3.1
c) my membership in a group that is part of the formal structure of policy setting at NAIT	1	1	1	2	5	10	3.9
2. My role in the policy process was that of:							
a) a person who prepared the initial policy statement	5	4	0	1	0	10	1.7
b) a person being consulted regarding my concerns and ideas on the policy	2	0	2	5	1	10	3.3
c) a person granting final approval of the polcy	4	2	1	2	1	10	2.4
3. I employed specific actions in an attempt to influence the course of the policy process	2	2	4	1	0	9	3.2

Table 4 (continued)

Respondents' Perceptions of the Nature of the Members of the Policy Organization

Item	Frequency * 1	2	3	4	5	N	Mean
4. The final policy incorporated my preferences for the wording of the policy statement	2	2	1	4	1	10	3.0
5. My involvement was continuous throughout the consideration of the policy	2	2	2	3	1	10	2.9
6. The other primary participants involved remained the same throughout the policy setting process	2	1	2	5	0	10	3.0

* The scale used for these items was : 1 = not at all; 2 = to a small extent; 3 = to a moderate extent; 4 = to a great extent; 5 = to a very great extent

actions to influence policy making, feeling that their preferences were incorporated into the policy statement, and maintaining continuous involvement -- all occurred to a moderate degree.

The high degree of importance of formal structure in determining the members of the policy organization suggests that, to some extent, the model of policy making described in Chapter 2 as institutionalism was applicable in this case. The somewhat lower importance of membership in an interest group and individual knowledge and expertise related to the policy issue implies that both the group theory model and the rational model provide less accurate descriptions of the policy setting process for performance appraisal.

The respondents' perceptions of their roles in the policy making process varied with their position in the organization. The senior administration felt they were consulted to a great extent, while the board members felt they were not consulted at all. This is explained by the fact that the performance appraisal policy was developed chiefly by senior officials, approved by the President, and endorsed by the Personnel Committee of the Board. In this case, the policy was judged to be sufficiently similar to past practice at NAIT that it was not referred to the full board for review.

The results on the final four items do not, by themselves, reflect anything distinctive about the actions of members in setting the performance appraisal policy. The fact that specific actions were employed, that members felt their preferences were stated in the policy, and that involvement was continuous and stable -- all to a moderate extent -- will be discussed later in relation to the findings for the other policies studied.

Environment. The purpose for gathering information on this element was to answer the question "What is the nature of the environment of the policy organization?"

The results obtained for the NAIT policy on performance appraisal are presented in Table 5. These results show that, to a great extent, the direction of the policy setting process was determined primarily by people within NAIT. External environmental forces were felt to be acting on NAIT to initiate this policy to less than a moderate extent. The environment outside of NAIT was viewed to be moderately well known, but to be made up of viewpoints that were uniform to only a small extent. The organizational environment within NAIT was characterized as having points of view that were both better known and more uniform than those of the external environment; however, the extent of knowledge and uniformity were moderate and small, respectively. The policy on performance appraisal was considered, to a relatively great extent, to have connections with many other issues at NAIT.

It is consistent for an institution which has its own board and is setting a policy to achieve institutional long term goals that the policy setting process be primarily internally directed, with a moderate degree of influence from

Table 5

Respondents' Perceptions of the Nature of the Environment of the Policy Organization

Item	Frequency * 1	2	3	4	5	N	Mean
Indicate the extent to which the following statements are true of the conditions associated with the development of the policy.							
1. There were few, if any, forces acting on NAIT from outside to initiate consideration of the policy	1	4	1	2	1	9	2.8
2. The direction of the policy setting process was determined primarily by people within NAIT	0	0	1	4	4	9	4.3
3. The environment outside of NAIT was characterized by known points of view	2	1	2	4	0	9	2.9
4. The environment outside of NAIT was characterized by uniform points of view	3	5	0	1	0	9	1.9
5. The environment inside of NAIT was characterized by known points of view	0	1	3	5	0	9	3.4
6. The environment inside of NAIT was characterized by uniform points of view	3	3	2	1	0	9	2.1
7. The policy on performance appraisal had connections with many other issues and policies within NAIT	0	1	2	4	2	9	3.8

* The scale used for these items was : 1 = not at all; 2 = to a small extent; 3 = to a moderate extent; 4 = to a great extent; 5 = to a very great extent

forces in the external environment. The structure of board governance has the dual purposes of increasing institutional self-direction and also increasing public input to governance. Where the second purpose is addressed, at least a moderate degree of knowledge of the external environment would be expected; this was the case for the NAIT performance appraisal policy.

The extent of uniformity of perceptions in the external and organizational environments is something that might be expected to vary considerably for each policy, depending upon the nature of the issue and the range of people with a stake in the issue. Performance appraisal in non-profit organizations has proven to be a complex topic due to the subjective nature of the evaluation criteria. Also, performance appraisal is a subject that involves all members of the organization. From the interviews, it was evident that the members of the policy organization differed not on the form of the policy statement, but on the details of the guidelines and procedures for implementing the policy.

The relatively strong connection between the performance appraisal policy and other issues and policies within NAIT reflects the complexity of performance appraisal and the potential effect that the policy may have on other issues and policies at NAIT.

Resources. The purpose of gathering information on this element was to answer the question, "What organizational resources are allocated specifically to the policy setting process?"

The results obtained for the resource element of the performance appraisal policy are presented in Table 6. These results show that in the policy setting process the most commonly used resources were position power and in-depth knowledge of the policy issue; personal ability to persuade and knowledge of the policy process itself were used moderately but less extensively. Legal information was the least used resource by members of the policy organization. In setting the performance appraisal policy, some other organizational resources were used, including knowledge of practices in the Government of Alberta and other colleges, and the perseverance of a small group of volunteers who worked on a committee in support of the development of the policy. Although various resources were used in setting the policy, the explicit allocation of resources for policy development occurred only to a small extent.

The perception that resources for policy setting were explicitly allocated to only a small extent is consistent with the type of resources used most extensively. Position power, in-depth knowledge of the issues, personal ability to persuade, and knowledge of the policy process are all resources that members bring with them to the policy organization; these resources are allocated implicitly through the formal structure of the policy organization, which determines to a great extent who will be involved in the policy setting process. One respondent indicated that

Table 6

Respondents' Perceptions of the Resources of the Policy Organization

Item	Frequency * 1	2	3	4	5	N	Mean
Indicate the extent to which the following statements are true of the resources used to set the policy.							
1. The resources used to accomplish the process were:							
a) in-depth knowledge related to the policy issue	0	1	3	4	1	9	3.6
b) personal ability to persuade	0	0	6	2	1	9	3.4
c) knowledge of the policy setting process	0	1	3	5	0	9	3.4
d) power derived from position in the organization	0	0	4	4	1	9	3.7
e) legal information	0	4	4	1	0	9	2.7
f) information gathered through research	0	4	1	4	0	9	3.0
g) other organizational resources	1	0	0	2	1	4	3.5
2. Resources to accomplish the setting of the policy were explicitly allocated to participants in the policy making process	4	1	2	2	0	9	2.2

* The scale used for these items was : 1 = not at all; 2 = to a small extent; 3 = to a moderate extent; 4 = to a great extent; 5 = to a very great extent

another organizational resource, namely the dedication and perseverance of a small group of volunteers, was used to a very great extent. The volunteers referred to were the members of an ad hoc committee on performance appraisal which had worked for more than a year on developing ideas related to the policy and its implementation.

Tasks. The purpose of gathering information on this element was to answer the question, "What is the nature of the tasks performed by the members of the policy organization?"

The results obtained are presented in Table 7. These results show that the tasks of policy setting were identified moderately clearly, and that those responsible for the tasks were moderately well acquainted with the policy setting process and its requirements. For the performance appraisal policy, the four tasks of identifying the problem, developing policy alternatives, debating the alternatives, and deciding on the policy statement all occurred to a relatively moderate extent; accepting a policy that was determined outside of NAIT occurred to a small extent.

Although these tasks were not viewed to occur as a highly routine sequence of events, they were considered to a relatively great extent to be the same tasks as those for setting other NAIT policies.

The features of the task elements described above were congruent with the picture of the formal structure of the policy organization developed earlier in this chapter. The

Table 7

Respondents' Perceptions of the Nature of the Tasks Performed in the Policy Organization

Item	Frequency * 1	2	3	4	5	N	Mean
Indicate the extent to which the following statements are true of the tasks of setting the policy.							
1. The tasks were clearly identified	1	3	3	2	0	9	2.7
2. Those responsible for various tasks were well acquainted with the policy process	1	3	1	2	2	9	3.1
3. The specific tasks were:							
a) identifying the problem	1	1	3	4	0	9	3.1
b) developing alternative policy positions	1	3	3	1	1	9	2.8
c) debating the relative merit of the policy alternatives	1	3	3	1	1	9	2.8
d) deciding on the most appropriate policy statement	1	2	2	2	2	9	3.2
e) accepting a policy that was determined outside of NAIT	5	2	1	1	0	9	1.8
4. The tasks occurred as a routine sequence of events	1	3	3	2	0	9	2.7
5. The tasks were the same as for other policies	0	0	4	5	0	9	3.6

* The scale used for these items was : 1 = not at all; 2 = to a small extent; 3 = to a moderate extent; 4 = to a great extent; 5 = to a very great extent

four tasks identified here as occurring to a moderate extent were each included in the descriptions obtained on the questionnaires under the element of structure. With much of the formal structure of the policy organization being made up of formal structures of the Institute as a whole, a moderate degree of points one, two, and four would be expected; that is, that tasks would be moderately clearly identified, that members would be moderately well acquainted with the process, and that there would be a moderate degree of routineness to the events of policy setting. The great extent of similarity of tasks from one policy setting exercise to another was also compatible with the relatively stable structure of the policy organization.

Decision making. The purpose of gathering information on this element was to answer the question "What is the nature of the policy decision making process?"

The results obtained for the performance appraisal policy are presented in Table 8. These results show that policy decision making with respect to performance appraisal was characterized to a relatively great extent by control of the process by a small number of people and reference to known facts about the policy issue; pre-set procedures were applied to a relatively moderate extent.

Broad participation in policy decision making occurred to a moderate extent, while negotiation and bargaining among various groups took place to a small extent. Chance interaction between people and issues within NAIT was viewed

Table 8

Respondents' Perceptions of the Nature of the Policy Decision Making Process

Item	Frequency * 1	2	3	4	5	N	Mean
Indicate the extent to which the following statements are true of the decision process.							
1. The policy decision was made by:							
a) applying pre-set procedures	0	2	2	4	1	9	3.4
b) negotiation and bargaining among various groups	3	3	1	2	0	9	2.2
c) reference to the facts which were known	0	1	2	6	0	9	3.6
d) a small number of people who controlled the policy process	0	1	1	7	0	9	3.7
e) the chance interaction between various people and various issues	6	3	0	0	0	9	1.3
2. Policy decision making was an open process that allowed for participation by a broad range of people	1	3	3	2	0	9	2.7
3. The policy statement was granted final approval by:							
a) an institute committee	2	0	1	5	0	8	3.1
b) the President	1	0	0	0	7	8	4.5
c) the Board of Governors	1	1	1	1	5	9	3.9
d) the Department of Advanced Education	7	1	0	0	0	8	1.1

* The scale used for these items was : 1 = not at all; 2 = to a small extent; 3 = to a moderate extent; 4 = to a great extent; 5 = to a very great extent

to have virtually no part in policy decision making for the performance appraisal policy. Final approval of the policy statement was perceived to have been granted to a great extent by the President and the Board of Governors, to a moderate extent by an Institute committee or council, and to no extent by the Department of Advanced Education.

The portrayal of policy decision making as a process controlled by a relatively small number of people but allowing for a moderate degree of participation by a broad range of people within NAIT was confirmed as an accurate picture during the interviews. The NAIT study participants were explicit about the need to achieve a balance between management's prerogative to set policies and stakeholders' needs to be consulted about the effects of new policies.

The moderate use of pre-set procedures was consistent with the view, noted earlier, that the tasks of policy setting were, to a large extent, the same for all policies; this may also be related to the stability of the formal structure of the policy process described earlier in this chapter. The small extent of negotiation and bargaining, together with the great extent of reference to facts as features of policy decision making indicated that the nature of consultation during the process was more one of a rational review of issues and less of political bargaining among interest groups. The almost complete absence of chance interactions between people and issues as a feature of decision making often applied to educational organizations, the "garbage can" model, was not evident in the case of the setting of NAIT's performance appraisal policy.

The question of final approval of the policy statement was less clear than one might expect. Once signed by the President, NAIT policies were endorsed either by the appropriate standing committee of the board or by the full board, depending on the degree of divergence between the new policy position and the current institute practice. For the performance appraisal policy, a considerable amount of work was done by an ad hoc committee; prior to discussion by the Senior Officials group, Deans and Directors perceived that final approval of the policy was given to a great extent by an Institute committee.

Another view was evident among Executive Committee members; they viewed approval as coming from an institute committee to a moderate extent, and from the Board of Governors to a great extent. Finally, board members perceived that final approval was given to a very great extent by the Board of Governors, and to no extent by other groups. Discussion of this point during the interviews indicated that the performance appraisal was endorsed by the Personnel Committee of the Board, but was not reviewed by the full board since the policy did not represent a great departure from established NAIT practices. Given the potential involvement of the President, board committees, and the full board in the final review and approval stages of the policy setting process, it was not surprising that perceptions varied to some degree on the issue of the actual agent of final policy approval.

Communications. The purpose of gathering information on this element was to answer the question, "What is the nature of communications that occur within the policy organization?"

The results obtained for the performance appraisal policy are presented in Table 9. These results show that both verbal and written communications were used to a relatively great extent. However, information related to the performance appraisal policy was discussed by groups throughout NAIT to only a small extent. A Vice-President was, to a great extent, the person who provided information related to this policy; the President supplied information to a moderate extent. The Board of Governors and the Department of Advanced Education were not sources of information regarding the performance appraisal policy. The information that was communicated was highly accurate and moderately timely. Discussion was stimulated to a moderate extent by the distribution of a policy review paper.

The result that verbal and written information was shared to a high degree indicated that members of the policy organization felt that they were relatively well informed during the policy setting process. The small degree of discussion of the policy throughout NAIT was reviewed in the interview phase of the study. Senior administrators stated that they relied chiefly on normal lines of communication through the various levels of the organization to stimulate

Table 9

Respondents' Perceptions of the Nature of the Communications in the Policy Organization

Item	Frequency * 1	2	3	4	5	N	Mean
Indicate the extent to which the following statements are true of the communications in the policy setting process.							
1. Information was shared through written communications	0	1	3	4	1	9	3.6
2. Information was shared through verbal communications	1	0	0	8	0	9	3.7
3. Information was actively discussed by groups throughout NAIT	1	4	4	0	0	9	2.3
4. Information was provided by:							
a) the President	1	0	4	2	1	9	3.3
b) a Vice-President	0	0	3	5	1	9	3.8
c) the Board of Governors	7	1	1	0	0	9	1.3
d) the Department of Advanced Education	8	1	0	0	0	9	1.1
5. The information that was communicated was timely	1	1	2	4	1	9	3.3
6. The information that was communicated was accurate	0	0	3	5	1	9	3.8
7. Discussion was stimulated by the distribution of a policy review paper	1	1	2	2	2	8	3.4

* The scale used for these items was : 1 = not at all; 2 = to a small extent; 3 = to a moderate extent; 4 = to a great extent; 5 = to a very great extent

discussion and to collect feedback on policy issues. It was felt by members of the policy organization that serious review and input to policy making did not extend much past the Chairman level, which is the first level of management at NAIT. Further, there was general agreement that it was not appropriate or feasible for all groups within the institute to have a say in all policy issues. This was consistent with the finding discussed earlier that, to a great extent, policy decision making was carried out by a small number of people who controlled the policy setting process.

The information that was communicated was viewed to be more accurate than timely. In general, large organizations may be better at providing accurate information than they are at providing information at the right time. This point will be discussed further as the results from the other three policies are described.

A policy review paper on performance appraisal was prepared by the Director of Personnel at the time the discussion of a performance appraisal policy began. From further discussion in the interviews, it became evident that policy review papers were developed in approximately twenty to thirty percent of the cases of policy setting at NAIT.

Origin of the International Education Policy

Throughout its existence, NAIT has been involved in various international education projects. The degree of involvement has ranged from provision of individual instructional or administrative staff to comprehensive consulting on the design of facilities and programs for technical education in developing countries. As a provincially administered institution, NAIT involvement in international education was controlled by Alberta Advanced Education and Manpower. At the time of conversion to board governance, a number of factors combined to cause the development of a new policy in international education.

First, there was the desire on the part of members of NAIT's Executive Committee, particularly the Vice-Presidents of Instruction and Educational Support Services, to continue the international education activities which had been managed in an ad hoc way under the government. At the time of conversion, there was an opportunity to undertake educational projects in developing countries independent of Alberta Advanced Education. Second, this opportunity came at a time when NAIT was receiving an increasing number of requests related to international education. Also, other board governed institutions in Alberta were expanding their initiatives in this area. In light of the government's desire to look to international markets for economic development opportunities, it was important for NAIT to compete on an equal basis with other institutions in international educational development.

Overall, then, there was a need not only to maintain NAIT's involvement in international education but also to establish a rationale for the range of activities that the Institute might effectively undertake. By March, 1983, a new policy on international education was approved.

Organizational Design Elements for the International Education Policy

The research findings for the eight organizational design elements are presented for the second policy studied at NAIT.

Structure. The results obtained for the international education policy are shown in Table 10.

As for the performance appraisal policy, several groups were involved in the policy setting process. Once the policy issue was identified, the first step in aggregating the interest of those people concerned with international education occurred through the Executive Committee. This group of three Vice-Presidents and the President endorsed the need to develop a NAIT policy on international education and directed the Vice-Presidents of Instruction and Educational Support Services to collaborate on drafting an initial policy statement.

The Vice-President of Instruction reviewed the Institute's previous positions, practices, and experiences with respect to international education. This review was accomplished, in part, through discussions with the four academic Deans.

Based on the review of past activities, an initial draft

Table 10

Respondents' Perceptions of the Formal Structure of the Policy Organization

	Task/Activity	Person(s) Responsible
1.	Articulation of policy issue	Various; described in previous section
2.	Put item on agenda of Executive Committee for discussion	Vice-President of Educational Support Services (VP/ESS)
3.	Review of previous positions, practices, and experiences	Vice-President of Instruction (VP/I); Deans
4.	Draft policy and guidelines	VP/ESS; VP/I
5.	Agenda item - preliminary review of draft by Executive Committee	VP/ESS; Executive Committee members
6.	Review of draft in several forums	Line managers; Deans; Chairmen; Senior Officials group
7.	Revisions on the basis of feedback	VP/ESS
8.	Agenda item - review of revised policy and guidelines by Executive Committee; recommendation for approval to the President	VP/ESS; Executive Committee members
9.	Approval of policy statement	President
10.	Agenda item - presentation, review, and approval of policy by the Board of Governors	President; Board of Governors
11.	Distribute approved policy to line managers for placement in policy manual	VP/ESS

of a policy on international education was developed by the two Vice-Presidents. This document was then reviewed by Executive Committee prior to being discussed more widely among Senior Officials and other line managers. The policy and guideline statements were adjusted to incorporate the feedback received from these discussions.

The revised policy and guidelines were then reviewed for a final time by Executive Committee; this group recommended approval to the President. The President's formal approval of the policy on international education occurred on March 8, 1983. Because there was no appropriate standing committee of the Board to deal with the issue of international education activities, the policy was presented to the full Board of Governors for discussion and approval. The Board of Governors endorsed the international education policy. The approved policy and guidelines were distributed to line managers for placement in the Manual of Policies, Guidelines, and Procedures.

This description reveals an identifiable hierarchical structure for the policy organization. Much of the policy setting activity related to international education occurred within three groups -- the Senior Officials group, Executive Committee, and the Board of Governors -- that are part of NAIT's line decision making structure. As in the case of the performance appraisal policy, the formal structure of the policy organization was made up largely of formal structural elements for the general administration of the Institute.

Although the formal structure for setting the policy on international education involved some of the same groups as did the performance appraisal policy, the extent of involvement of the various groups varied for the two policies. For example, the process of setting the policy on international education originated within the Executive Committee and seemed to centre more on that group than on the Senior Officials group. The performance appraisal policy, on the other hand, received its first consideration by Senior Officials and was largely developed by a sub-committee of that group. In both cases, the process of consultation with line managers was carried out. However, from the interview comments, it was evident that this process was much less concerted in the case of the international education policy than in the case of the performance appraisal policy. Finally, the policy on international education was reviewed and endorsed by the full Board of Governors, rather than by a standing committee of the board. This occurred for three reasons: (1) there was no appropriate standing committee of the board to deal with the international education issue, (2) the policy represented a significant, new initiative at the institutional level, and (3) the nature of international educational activities had a high profile both educationally and politically.

Goals. The results obtained for the NAIT policy on international education are presented in Table 11.

These results indicate that the policy on international

Table 11

Respondents' Perceptions of the Goals of the Policy

Item	Frequency * 1	2	3	4	5	N	Mean
Indicate the extent to which the following statements describe the goal of the policy.							
1. Set a new direction for NAIT that is perceived to be of strategic importance to the institution	0	0	1	4	3	8	4.3
2. Address an issue emerging from the environment outside of NAIT	0	2	1	4	1	8	3.5
3. Address an initiative taken by a specific interest group	1	3	3	1	0	8	2.5
4. Facilitate the achievement of specific institutional long term goals	0	0	1	5	2	8	4.1
5. Facilitate the achievement of specific institutional short term goals	0	0	2	6	0	8	3.8
6. Solve a specific organizational problem by establishing new guidelines and procedures	3	3	2	0	0	8	1.9
7. Formalize institutional commitment to past practices and procedures	0	1	5	2	0	8	3.1
8. Update an existing policy	1	3	3	1	0	8	2.5

* The scale used for these items was : 1 = not at all; 2 = to a small extent; 3 = to a moderate extent; 4 = to a great extent; 5 = to a very great extent

education had two principal goals: (1) to set a new direction for NAIT that was perceived to be of strategic importance, and (2) to facilitate the achievement of specific long term institutional goals. Two other statements were rated as describing the goals of the policy to a relatively great extent; these were to facilitate the achievement of specific institutional short term goals, and to address an issue from the environment outside of NAIT. Addressing an initiative taken by a specific interest group, formalizing an institutional commitment to past practices and procedures, and updating an existing policy were all viewed to be the goal of the policy to a moderate extent. Solving a specific organizational problem received the lowest average rating as the goal of the policy.

The goals of the policy as perceived by the respondents were compatible with the forces described as initiating the development of a policy on international education. With the Government of Alberta undertaking some international economic development initiatives, and with other postsecondary institutions actively seeking new projects in international education, continued NAIT involvement in this area was of strategic importance to the Institute in both the long term and the short term. The strategic importance of addressing this issue which emerged from NAIT's external environment was greater than the importance of updating an existing policy, formalizing commitment to past practices or addressing interest group initiatives, three goals with a primarily internal orientation. Finally, no specific organizational problem was identified with respect to NAIT's international education activities; therefore, this item received the lowest rating as a goal of the policy.

For the international education policy, it was evident that there was a degree of correspondence between the forces identified as initiating the consideration of the policy issue and the goals of the policy once it was established. In this case, the strategic importance of involvement in international education activities in order to achieve long and short term institutional goals was viewed to be the primary goal of the policy.

Members. The results for this element of the international education policy are shown in Table 12.

As for the other policy studied at NAIT, these results show that, to a great extent, involvement in the policy setting process occurred as a result of an individual's membership in a group that was part of the formal structure of policy setting at NAIT. Knowledge and expertise in the policy subject matter as well as membership in an interest group affected by the policy were rated almost equally, to a moderate extent, as the basis for membership in the policy organization.

The role of those involved in setting the policy on international education was, to a great extent, that of offering concerns and ideas with respect to the draft policy. Members of the policy organization saw themselves as drafting

Table 12

Respondents' Perceptions of the Nature of the Members of the Policy Organization

Item	Frequency * 1	2	3	4	5	N	Mean
Indicate the extent to which the following statements are true regarding your role in the policy making process.							
1. I was involved in the policy development process because of:							
a) my knowledge and expertise in the subject matter related to the policy	2	0	2	4	0	8	3.0
b) my membership in an interest group affected by the policy	1	2	2	3	0	8	2.9
c) my membership in a group that is part of the formal structure of policy setting at NAIT	1	0	1	3	3	8	3.9
2. My role in the policy process was that of:							
a) a person who prepared the initial policy statement	4	2	0	2	0	8	2.0
b) a person being consulted regarding my concerns and ideas on the policy	1	0	1	5	1	8	3.6
c) a person granting final approval of the polcy	1	0	2	4	1	8	3.5
3. I employed specific actions in an attempt to influence the course of the policy process	2	0	4	2	0	8	2.8

Table 12 (continued)

Respondents' Perceptions of the Nature of the Members of the Policy Organization

Item	Frequency * 1	2	3	4	5	N	Mean
4. The final policy incorporated my preferences for the wording of the policy statement	1	1	3	3	0	8	3.0
5. My involvement was continuous throughout the consideration of the policy	2	0	2	4	0	8	3.0
6. The other primary participants involved remained the same throughout the policy setting process	1	1	2	4	0	8	3.1

* The scale used for these items was : 1 = not at all; 2 = to a small extent; 3 = to a moderate extent; 4 = to a great extent; 5 = to a very great extent

the initial policy statement to a small extent but granting final approval to the policy to a relatively great extent.

The remainder of the results in Table 12 indicate that several features of member behavior -- employing specific actions to influence policy making, feeling that their preferences were incorporated into the policy statement, and maintaining continuous involvement in the policy process -- all occurred to a moderate degree.

The great importance of formal structure in determining membership in the policy organization indicated that those people who were part of the senior decision making groups comprising the formal structure within NAIT -- Senior Officials group, Executive Committee, and the Board of Governors -- were also members of the policy organization. To only a moderate extent did knowledge and expertise with respect to the policy issue or membership in an interest group provide the basis for membership in the policy organization.

Almost all members of the policy organization felt that they were being consulted to at least a moderate extent. However, to an almost equal extent, members felt that they were involved in granting final approval of the policy. The somewhat greater involvement of the Executive Committee relative to Senior Officials in the development of the policy on international education may have led to this high rating on final approval of the policy. With most of the review and drafting of the policy occurring at the Executive Committee level, those involved other than the President and the board members may have felt that they contributed substantially to the final approval of the policy.

As in the case of the performance appraisal policy, the final four points in Table 12 indicated that these features of member behavior all occurred to a moderate extent. These results showed that in general the people involved attempted to actively influence the course of the policy process and that they were moderately successful as reflected by the incorporation of their preferences for the wording of the policy statement. Also, the membership of the policy organization was moderately stable as shown by the continuous involvement of oneself and others throughout the policy setting process.

Environment. The results for this organizational design element are presented in Table 13.

These results show that, to a great extent, the direction of the policy setting process was determined primarily by people within NAIT. External environmental forces were felt to be acting on NAIT to a small extent. NAIT's external environment was viewed to be relatively well known and to be made up of viewpoints that were moderately uniform. The organizational environment within NAIT was characterized as having points of view that were less well known and about equal in uniformity to those of the external environment. The extent of knowledge and the degree of uniformity of points of view within the NAIT internal

Table 13

Respondents' Perceptions of the Nature of the Environment of the Policy Organization

Item	Frequency * 1	2	3	4	5	N	Mean
Indicate the extent to which the following statements are true of the conditions associated with the development of the policy.							
1. There were few, if any, forces acting on NAIT from outside to initiate consideration of the policy	2	4	1	1	0	8	2.1
2. The direction of the policy setting process was determined primarily by people within NAIT	0	0	1	6	1	8	4.0
3. The environment outside of NAIT was characterized by known points of view	0	1	2	5	0	8	3.5
4. The environment outside of NAIT was characterized by uniform points of view	0	4	2	2	0	8	2.8
5. The environment inside of NAIT was characterized by known points of view	0	3	2	3	0	8	3.0
6. The environment inside of NAIT was characterized by uniform points of view	0	3	3	2	0	8	2.9
7. The policy on international education had connections with many other issues and policies within NAIT	0	0	6	2	0	8	3.3

* The scale used for these items was : 1 = not at all; 2 = to a small extent; 3 = to a moderate extent; 4 = to a great extent; 5 = to a very great extent

environment were both moderate. The international education policy was considered to have a moderate degree of connection with other issues at NAIT.

It could be expected that an autonomous institution, which is setting a policy perceived to be of strategic importance, would control the policy setting process itself. In this case, only a small degree of influence from forces in the external environment was experienced, even though the goal of the policy was, to a great extent, to address an issue emerging from the environment outside of NAIT.

The relatively great extent to which the external environment was known reflected an explicit Government of Alberta priority on international economic development. The moderate degree of uniformity of points of view both internally and externally on the issue of international education indicated an absence of greatly divergent views on the issue.

The moderate extent of connection perceived between the international education policy and other issues and policies within NAIT was consistent with the state of development of international activities at NAIT. Up until the conversion to board governance, projects came to NAIT through the Department of Advanced Education and Manpower and were handled as individual initiatives by the Institute using whatever resources were then available. With the establishment of the policy on international education, NAIT began to build a more systematic set of support services to facilitate the management of new projects. By September, 1983, a position of Director of International Education was approved and in May, 1985, this role was expanded to include technology transfer activities. But at the time that the policy was approved in March, 1983, international education was not an explicit priority for NAIT and therefore was not intertwined to a great extent with other priorities and issues within the Institute.

Resources. The results obtained for the resource element of the international education policy are presented in Table 14.

These results show that there were two clusters of resources, one of which was used to a great extent, and the other to small extent. The first cluster included the following four specific resources that where used to a relatively great extent: (1) position power, (2) knowledge of the policy process, (3) personal ability to persuade, and (4) in-depth knowledge of the policy issue. In the second group there were three specific resources which were used to a small extent; they were: (1) legal information, (2) research information, and (3) other organizational resources. The other organizational resources which were cited included information from agencies outside of NAIT -- the Canadian International Development Agency (CIDA), other educational institutions and the Association of Canadian Community Colleges (ACCC). The explicit allocation of resources for policy development occurred to a moderate

Table 14

Respondents' Perceptions of the
Resources of the Policy Organization

Item	Frequency * 1	2	3	4	5	N	Mean
Indicate the extent to which the following statements are true of the resources used to set the policy.							
1. The resources used to accomplish the process were:							
a) in-depth knowledge related to the policy issue	0	0	3	5	0	8	3.6
b) personal ability to persuade	0	0	1	7	0	8	3.9
c) knowledge of the policy setting process	0	1	0	6	1	8	3.9
d) power derived from position in the organization	0	0	1	5	2	8	4.1
e) legal information	2	3	2	1	0	8	2.3
f) information gathered through research	2	2	3	1	0	8	2.4
g) other organizational resources	2	0	0	1	0	3	2.0
2. Resources to accomplish the setting of the policy were explicitly allocated to participants in the policy making process	4	0	1	2	1	8	2.5

* The scale used for these items was : 1 = not at all; 2 = to a small extent; 3 = to a moderate extent; 4 = to a great extent; 5 = to a very great extent

extent.

In both cases of policy setting studied at NAIT, position power was the resource used to the greatest extent. In addition, for both policies, in-depth knowledge of the policy issue was used to an equal and relatively great extent. Personal ability to persuade and knowledge of the policy process were used to a great extent in setting the international education policy, but to a more moderate extent in setting the performance appraisal policy. In connection with this observation, results cited earlier showed that, for both policies, the members of the policy organization employed specific actions to influence the course of the policy process to a moderate extent.

Tasks. The results obtained for the tasks element of the policy on international education are shown in Table 15.

These results show that the tasks of policy setting were identified moderately clearly and that those responsible for the tasks were acquainted with the policy setting process and its requirements to a great extent. For the international education policy, the two tasks of identifying the problem and deciding on the most appropriate policy statement both occurred to a relatively great extent. Developing alternative policy positions and debating the relative merit of the policy alternatives occurred to a moderate extent. Finally, accepting a policy that was determined outside of NAIT occurred to a small extent.

The tasks of the policy setting process were viewed to a

Table 15

Respondents' Perceptions of the Nature of the Tasks Performed in the Policy Organization

Item	Frequency * 1	2	3	4	5	N	Mean
Indicate the extent to which the following statements are true of the tasks of setting the policy.							
1. The tasks were clearly identified	0	3	2	2	0	7	2.9
2. Those responsible for various tasks were well acquainted with the policy process	0	0	3	3	1	7	3.7
3. The specific tasks were:							
a) identifying the problem	0	0	2	5	0	7	3.7
b) developing alternative policy positions	0	1	5	1	0	7	3.0
c) debating the relative merit of the policy alternatives	0	1	4	2	0	7	3.1
d) deciding on the most appropriate policy statement	0	0	3	3	1	7	3.7
e) accepting a policy that was determined outside of NAIT	2	4	1	0	0	7	1.9
4. The tasks occurred as a routine sequence of events	0	2	2	2	1	7	3.3
5. The tasks were the same as for other policies	0	2	2	3	0	7	3.1

* The scale used for these items was : 1 = not at all; 2 = to a small extent; 3 = to a moderate extent; 4 = to a great extent; 5 = to a very great extent

moderate extent to take place as a routine sequence of events. They were also considered to be moderately similar to the tasks for setting other policies at NAIT.

The degree to which the tasks of policy setting were clearly identified was the same for both policies studied at NAIT, moderately. However, for the policy on international education, the respondents felt that those responsible for various policy tasks were acquainted to a great extent with the policy process compared to only a moderate extent in the case of the performance appraisal policy. This may have been due to the greater involvement of Executive Committee members in setting the international education policy; the more senior members of administration could be expected to be more familiar with the policy process.

The primary tasks of developing the policy on international education were to identify the problem and to prepare an appropriate policy statement. These tasks were consistent with the goals of the policy, which were to set a new direction of strategic importance and to facilitate the achievement of long and short term institutional goals. In the absence of any specific organizational problem or any previous policy or established procedures, the definition of the policy problem would be a highly important task. The moderate extent to which developing policy alternatives and debating their relative merits took place was also consistent with the results discussed earlier which showed a moderate degree of uniformity of views on this issue in both the internal and external environments of NAIT.

The moderate degree of routineness and similarity to the tasks of setting other policies may have been related to the relative stability of the formal structure of the policy organization.

Decision making. The results on decision making obtained for the international education policy are presented in Table 16.

The results in Table 16 show that policy decision making with respect to international education was characterized to a great extent by control of the process by a small number of people and reference to known facts about the policy issue. Pre-set procedures were applied to a moderate extent.

While negotiation and bargaining among various groups took place to only a small extent, broad participation in policy decision making occurred to a moderate extent. Chance interaction between people and issues within NAIT was viewed to have a small part in policy decision making for the international education policy. Final approval of the policy statement was perceived to have been granted to a great extent by the President and the Board of Governors, to a moderate extent by an institute committee or council, and to no extent by the Department of Advanced Education.

It is notable that the patterns of mean responses for the items on the element of decision making were very similar for the two policies studied at NAIT. This suggests that the decision making process was essentially the same for both

Table 16

Respondents' Perceptions of the Nature of the Policy Decision Making Process

Item	Frequency * 1	2	3	4	5	N	Mean
Indicate the extent to which the following statements are true of the decision process.							
1. The policy decision was made by:							
a) applying pre-set procedures	0	1	4	2	1	8	3.4
b) negotiation and bargaining among various groups	1	5	1	1	0	8	2.3
c) reference to the facts which were known	0	0	2	6	0	8	3.8
d) a small number of people who controlled the policy process	0	0	0	5	3	8	4.4
e) the chance interaction between various people and various issues	4	3	1	0	0	8	1.6
2. Policy decision making was an open process that allowed for participation by a broad range of people	1	2	4	1	0	8	2.6
3. The policy statement was granted final approval by:							
a) an institute committee	2	0	0	5	0	7	3.1
b) the President	1	0	0	1	6	8	4.4
c) the Board of Governors	1	1	1	0	5	8	3.9
d) the Department of Advanced Education	6	2	0	0	0	8	1.3

* The scale used for these items was : 1 = not at all; 2 = to a small extent; 3 = to a moderate extent; 4 = to a great extent; 5 = to a very great extent

policies. The analytical comments on the results for the international education policy are the same as for the performance appraisal policy and are not restated here.

Communications. The results obtained for the communications element of the international education policy are presented in Table 17.

These results show that both verbal and written communications were used to a moderate extent. Information related to the international education policy was actively discussed by groups throughout NAIT to a small to moderate extent. As was the case for the performance appraisal policy, a Vice-President was the principal source of information, with the President being a secondary source of information. The Board of Governors and the Department of Advanced Education were not significant sources of information in the policy setting process. The information that was communicated was, to a great extent, both accurate and timely. Discussion was stimulated to a moderate extent by the distribution of a policy review paper.

The result that verbal and written information were shared to a moderate degree indicated that members of the policy organization felt that they were kept moderately well informed during the policy setting process for international education. At the same time there was a small to moderate degree of active discussion among various groups throughout NAIT. This contrasted slightly with the pattern of communication for the performance appraisal policy in which

Table 17

Respondents' Perceptions of the Nature of the Communications in the Policy Organization

Item	Frequency * 1	2	3	4	5	N	Mean
Indicate the extent to which the following statements are true of the communications in the policy setting process.							
1. Information was shared through written communications	0	1	4	2	1	8	3.4
2. Information was shared through verbal communications	1	0	4	2	1	8	3.3
3. Information was actively discussed by groups throughout NAIT	1	3	3	1	0	8	2.5
4. Information was provided by:							
a) the President	1	0	6	1	0	8	2.9
b) a Vice-President	0	0	1	3	4	8	4.4
c) the Board of Governors	3	2	3	0	0	8	2.0
d) the Department of Advanced Education	6	1	1	0	0	8	1.4
5. The information that was communicated was timely	0	0	3	4	1	8	3.8
6. The information that was communicated was accurate	0	0	1	6	1	8	4.0
7. Discussion was stimulated by the distribution of a policy review paper	1	0	3	4	0	8	3.3

* The scale used for these items was : 1 = not at all; 2 = to a small extent; 3 = to a moderate extent; 4 = to a great extent; 5 = to a very great extent

information sharing by verbal and written means occurred to a great extent and active discussion by various groups occurred to a smaller extent. Again, these results may reflect the relatively greater degree of involvement of the Executive Committee with the consequence that information was not shared beyond that level as greatly as it otherwise might have been. The moderate degree of discussion among other groups may have reflected a slightly greater interest in the international education issue than the performance appraisal issue.

For both NAIT policies, the information that was communicated was viewed to be highly accurate. However, for the international education policy the information was thought ~~to be highly~~ timely as well. The ability of an organization to provide timely information in support ~~of~~ the setting of policies of strategic importance has been shown (Allison, 1971) to be highly desirable.

GENERAL DESCRIPTION OF THE POLICY ORGANIZATION

In this final section of the chapter, the features of the policy organization that were common to both of the policies studied at NAIT are described and a general picture of the policy organization is developed. First, the general characteristics for each organizational design element are reviewed briefly to highlight the aspects which were common to both policies. Then a general description of the policy organization is presented.

Comparison of Organizational Design Elements for NAIT

Structure. A review of Tables 2 and 10 revealed that a number of structural features were similar for both the performance appraisal policy and the international education policy. The features which were largely the same for both policies are summarized in Table 18 as a general sequence of steps for the policy setting process.

The description in Table 18 indicates that the formal structure for policy setting was both well developed and identifiable. Those responsible for almost every step in the policy setting process were either individual senior managers or groups of senior managers. In general, then, the hierarchical structure for setting policies within NAIT was integrated into the higher levels of the formal administrative structure of the Institute. As long as these formal administrative structures were stable, the central components of the formal structure of the policy organization should also remained stable.

In addition to the relatively stable features of the formal structure, other ad hoc structural elements were found to exist in the two policy cases studied. For the performance appraisal policy, a sub-committee of the Senior Officials group was established. The membership of this group changed over time. Also, for both policies, consultation with line managers during the review of the proposed policy and guidelines was variable and depended on the degree to which discussion was stimulated by individual

Table 18

Common Features of the Formal Structure of the Policy Organization

	Task/Activity	Person(s) Responsible
1.	Articulation of the policy issue	Various; different for each policy
2.	Put item on agenda of a senior management group	VP/ESS
3.	Initial review of policy issue; assignment of responsibility to do background work and to prepare a draft policy	Senior Officials group or Executive Committee
4.	Review of Institute positions and practices; conduct other research as appropriate; prepare draft policy and guidelines statement	Vice-President responsible for the area affected by the policy issue; ad hoc committees may be struck
5.	Preliminary review of the draft policy statement by a senior management group	Senior Officials or Executive Committee
6.	Review of proposed policy and guidelines by line managers, as appropriate	Deans and Directors initiate line communication
7.	Revisions on the basis of feedback	Appropriate Vice-President or Director
8.	Review of revised policy and guidelines by senior management groups; recommendation for approval to the President	Senior Officials group and Executive Committee
9.	Approval of the policy and guidelines	President
10.	Final review and endorsement of policy and guidelines	Appropriate standing committee of the board or the full Board of Governors
11.	Distribute approved policy statement to line managers for placement in policy manual	VP/ESS

Deans or Directors.

In summary, the formal structure of the policy organization was made up of two general parts: (1) a relatively stable core of structural elements that were also part of the institutional decision making structure, and (2) a variable periphery of structural elements that changed from one case of policy setting to the next.

Goals. A comparison of the results from Tables 3 and 11 is presented in Table 19. For the purposes of this and subsequent comparison tables in this chapter, the performance appraisal policy is referred to as Policy 1, and the international education policy is referred to as Policy 2.

In both cases of policy setting, there were four statements that were viewed to be the goals of the policies to at least a moderate extent; these were:

1. Set a new direction that is perceived to be of strategic importance to the institution.
2. Facilitate the achievement of specific institutional long term goals.
3. Facilitate the achievement of specific institutional short term goals.
4. Formalize institutional commitment to past practices and procedures.

Insofar as one can say that the goals of individual policies reflect the goals of the policy organization itself, the emphasis of the policy organization at NAIT was placed on determining institutional strategy, facilitating the

Table 19

A Comparison of Respondents' Perceptions of the Goals of the Policy

Item	Mean Policy 1	Mean Policy 2
Indicate the extent to which the following statements describe the goal of the policy.		
1. Set a new direction for NAIT that is perceived to be of strategic importance to the institution	3.0	4.3
2. Address an issue emerging from the environment outside of NAIT	2.2	3.5
3. Address an initiative taken by a specific interest group	2.1	2.5
4. Facilitate the achievement of specific institutional long term goals	3.4	4.1
5. Facilitate the achievement of specific institutional short term goals	3.1	3.8
6. Solve a specific organizational problem by establishing new guidelines and procedures	2.2	1.9
7. Formalize institutional commitment to past practices and procedures	3.2	3.1
8. Update an existing policy	3.2	2.5

achievement of long and short term institutional goals, and confirming institutional commitment to how things ought to be done. There was a general lack of emphasis on addressing initiatives of specific interest groups and solving specific organizational problems.

Members. A comparison of the results from Tables 4 and 12 is presented in Table 20. In both cases of policy setting , almost all items were viewed to be true to a moderate extent. However, there was agreement that, to a great extent, membership in the policy organization occurred because of one's membership in a group that was part of the formal structure of policy setting. This finding reinforces the importance of the formal structure in determining who was involved in the policy setting process.

Environment. A comparison of the results from Tables 5 and 13 is presented in Table 21. This comparison shows that there was agreement for both policies that, to a great extent, the direction of the policy setting process was determined primarily by people within NAIT. Three other features of the environment were rated as true to at least a moderate extent in both cases; the environments outside and inside NAIT were characterized by known points of view, and the policies were connected to other issues and policies within the Institute.

The other three aspects of the element of environment were viewed to be different for the two policies studied. That is, the extent to which external forces acted upon NAIT

Table 20

A Comparison of Respondents' Perceptions of the Nature of the Members of the Policy Organization

Item	Mean Policy 1	 Policy 2
Indicate the extent to which the following statements are true regarding your role in the policy making process.		
1. I was involved in the policy development process because of:		
a) my knowledge and expertise in the policy subject matter	2.7	3.0
b) my membership in an interest group affected by the policy	3.1	2.9
c) my membership in a group that is part of the formal structure of policy setting at NAIT	3.9	3.9
2. My role in the policy process was that of:		
a) a person who prepared the initial policy statement	1.7	2.0
b) a person being consulted regarding my concerns and ideas	3.3	3.6
c) a person granting final approval of the policy	2.4	3.5
3. I employed specific actions in an attempt to influence the course of the policy process	3.2	2.8
4. The final policy incorporated my preferences for the wording of the of the policy statement	3.0	3.0
5. My involvement was continuous throughout the consideration of the policy	2.9	3.0
6. The other primary participants remained the same throughout the policy setting process	3.0	3.1

Table 21

A Comparison of Respondents' Perceptions of the Nature of the Environment of the Policy Organization

Item	Mean Policy 1	Policy 2
Indicate the extent to which the following statements are true of the conditions associated with the development of the policy.		
1. There were few, if any, forces acting on NAIT to initiate consideration of the policy	2.8	2.1
2. The direction of the policy setting process was determined primarily by people within NAIT	4.3	4.0
3. The environment outside of NAIT was characterized by known points of view	2.9	3.5
4. The environment outside of NAIT was characterized by uniform points of view	1.9	2.8
5. The environment inside of NAIT was characterized by known points of view	3.4	3.0
6. The environment inside of NAIT was characterized by uniform points of view	2.1	2.9
7. The policy had connections with many other issues and policies within NAIT	3.8	3.3

to initiate consideration of the policy, and the degree of uniformity among points of view both inside and outside NAIT differed for each policy.

Resources. A comparison of the results from Tables 6 and 14 is presented in Table 22. In both cases of policy setting there was a group of four resources that was used to a relatively great extent; these were, in the order of their extent of use: (1) power derived from position in the organization, (2) in-depth knowledge related to the policy issue, (3) personal ability to persuade, and (4) knowledge of the policy setting process. With the exception of the second item, this group of resources was related to the process of policy setting rather than to the material content of the policy issue. A second group of three resources was used to variable extents in setting the two policies. The resources in this group were all related to the substance of the policy problem. There was agreement that, in both cases, resources were explicitly allocated to a relatively small extent.

Tasks. A comparison of the results from Tables 7 and 15 is shown in Table 23. In both cases of policy setting, all but one item were rated as true to at least a moderate extent. Only the task of accepting a policy that was determined outside of NAIT was viewed to take place to only a small extent.

Decision making. A comparison of the results from Tables 8 and 16 is presented in Table 24. This comparison reflects close agreement of every aspect of decision making and

Table 22

A Comparison of Respondents' Perceptions of the Resources of the Policy Organization

Item	Mean Policy 1	Mean Policy 2
Indicate the extent to which the following statements are true of the resources used to set the policy.		
1. The resources used to accomplish the process were:		
a) in-depth knowledge related to the policy issue	3.6	3.6
b) personal ability to persuade	3.4	3.9
c) knowledge of the policy setting process	3.4	3.9
d) power derived from position in the organization	3.7	4.1
e) legal information	2.7	2.3
f) information gathered through research	3.0	2.4
g) other organizational resources	3.5	2.0
2. Resources to accomplish the setting of the policy were explictly allocated to participants in the policy process	2.2	2.5

Table 23

A Comparison of Respondents' Perceptions of the Nature of the Tasks Performed in the Policy Organization

Item	Mean Policy 1	Policy 2
Indicate the extent to which the following statements are true of the tasks of setting the policy.		
1. The tasks were clearly identified	2.7	2.9
2. Those responsible for the various tasks were well acquainted with the policy process	3.1	3.7
3. The specific tasks were:		
a) identifying the problem	3.1	3.7
b) developing alternative policy positions	2.8	3.0
c) debating the relative merit of the policy alternatives	2.8	3.1
d) deciding on the most appropriate policy statement	3.2	3.7
e) accepting a policy that was determined outside of NAIT	1.8	1.9
4. The tasks occurred as a routine sequence of events	2.7	3.3
5. The tasks were the same as for other policies	3.6	3.1

Table 24

A Comparison of Respondents' Perceptions of the Nature of the Policy Decision Making Process

Item	Mean Policy 1	Policy 2
Indicate the extent to which the following statements are true of the decision process.		
1. The policy decision was made by:		
a) applying pre-set procedures	3.4	3.4
b) negotiation and bargaining among various groups	2.2	2.3
c) reference to the facts which were known	3.6	3.8
d) a small number of people who controlled the process	3.7	4.4
e) chance interaction between various people and various issues	1.3	1.6
2. Policy decision making was an open process that allowed for participation by a broad range of people	2.7	2.6
3. The policy statement was granted final approval by:		
a) an institute committee	3.1	3.1
b) the President	4.5	4.4
c) the Board of Governors	3.9	3.9
d) the Department of Advanced Education	1.1	1.3

presents a consistent view of the decision making process as one with the following characteristics:

1. Policy decisions were made to a great extent by a small number of people who controlled the policy process but who referred to the facts which were known.
2. Pre-set procedures were used to a moderate extent.
3. Negotiation and bargaining among various groups and chance interaction between people and issues were not significant features of policy decision making.
4. Broad participation occurred to a moderate extent.
5. Final approval was perceived to be granted to a great extent by the President and the Board of Governors, to a moderate extent by an institute committee or council, and to virtually no extent by the Department of Advanced Education.

Such close agreement on the characteristics of the decision making element indicates that the policy decision process was highly visible and that it was seen by various people within NAIT to occur in the manner described above.

Communications. A comparison of the results from Tables 9 and 17 is presented in Table 25. This comparison shows that, in both cases, written and verbal communications were used to at least a moderate extent, the information communicated was highly accurate, but active discussion by groups throughout NAIT occurred to a relatively small extent. There was also agreement for both policies studied that information was provided to a great extent by the Vice-

Table 25

A Comparison of Respondents' Perceptions of the Nature of the Communications in the Policy Organization

Item	Mean Policy 1	Mean Policy 2
Indicate the extent to which the following statements are true of the communications in the policy setting process.		
1. Information was shared through written communications	3.6	3.4
2. Information was shared through verbal communications	3.7	3.3
3. Information was actively discussed by groups throughout NAIT	2.3	2.5
4. Information was provided by:		
a) the President	3.3	2.9
b) a Vice-President	3.8	4.4
c) the Board of Governors	1.3	2.0
d) the Department of Advanced Education	1.1	1.4
5. The information that was communicated was timely	3.3	3.8
6. The information that was communicated was accurate	3.8	4.0
7. Discussion was stimulated by the distribution of a policy review paper	3.4	3.3

Presidents, to a moderate extent by the President, and to a very small extent by either the Board of Governors or the Department of Advanced Education.

These observations describe a relatively open system of communications which was consistent with the general characteristics described earlier for the elements of structure and decision making. The discussion of formal structure indicated that line communication for the purposes of policy review and modification was a feature of the core structure of the policy organization. Also, the general finding that the policy decision process was highly visible suggests a relatively open communications network.

General features of the policy organization. From the element-by-element comparisons described above, the following general characteristics of the policy organization at NAIT are evident:

1. The formal policy structure was made up of a relatively stable core and a variable periphery.
2. The goals of policy setting were related more to achieving strategic and institutional goals than to solving specific organizational problems or addressing the needs of specific interest groups.
3. Membership was determined to a great extent by membership in the formal structure.
4. Environmental forces were relatively well understood and exerted a variable effect on the initiation of policy setting; however, the policy process itself was

controlled primarily by those within NAIT.

5. The resources which were used to a great extent were related more to the process of policy setting than to the substantive content of the policy issue.
6. The tasks of policy setting were both moderately well identified and understood, and were similar for each case of policy setting.
7. Policy decision making was a highly visible process controlled by a relatively small number of people, but offered moderate participation by a broad range of people within NAIT.
8. Communications were highly accurate and relatively open; however, they stimulated active discussion to only a small extent.

These characteristics will be discussed further in Chapter 6 in order to contrast them with the general features of the policy organization at Kelsey Institute described in the next chapter.

Chapter 5

DESCRIPTION AND ANALYSIS OF DATA FOR KELSEY INSTITUTE OF APPLIED ARTS AND SCIENCES

This chapter describes and analyzes the data gathered by questionnaires and interviews on the development of two policies at Kelsey Institute of Applied Arts and Sciences. The chapter is divided into three sections. The first section provides a brief historical description of Kelsey, its governance, and its policy making. The next section describes the eight organizational design elements for the two cases of policy setting studied at Kelsey Institute. The last section develops a general description of the policy organization at Kelsey, based on the data described in the second section.

DESCRIPTIVE BACKGROUND FOR KELSEY INSTITUTE

Growth in technical and vocational education in Saskatchewan occurred at a rapid pace in the early 1960s. The *Technical and Vocational Training Assistance Act* (1960) stimulated the planning and construction of two technical institutes in the province. The Saskatchewan Technical Institute (STI) was opened in Moose Jaw in the fall of 1960. STI was soon being used to capacity and a second technical institute was planned for Saskatoon. Opened for full-time program operation in the fall of 1960, this second postsecondary technical education facility was originally named the Central Saskatchewan Technical Institute. This name was soon changed to the Saskatchewan Technical Institute at Saskatoon. The title of the institute underwent further changes to the Saskatchewan Institute of Appled Arts and Sciences in 1968, and ultimately to its present name, Kelsey Institute of Applied Arts and Sciences, in 1974.

Today, Kelsey's programs are delivered by six instructional divisions: (1) Applied Sciences, (2) Health Sciences, (3) Industrial, (4) Personal and Community Services, (5) Associated Studies, and (6) Continuing Studies. In 1984-85, the academic year in which this study was carried out, there were 2,394 students enrolled in 42 full-time programs on campus. In addition, 1,228 apprenticeship students were served in ten designated trade program areas.

Created as a provincially administered institution, Kelsey has continued to the present time under the direct administration of the Government of Saskatchewan. It is currently governed by the Advanced Education Division of the Department of Advanced Education and Manpower, under _The Department of Advanced Education and Manpower Act_ (1983). The Principals of the three Saskatchewan technical institutes (a fourth technical institute in Prince Albert was in the planning and construction stages at the time of this study) have a direct line reporting relationship to the Assistant Deputy Minister of the Advanced Education Division. In addition, an Institute Operations Branch exists within the Division to provide administrative support within the

Department, and to act as a liaison between the technical institutes and other government departments in order to facilitate the day-to-day operational requirements of the institutes.

As a line operation of government, Kelsey Institute relies on other departments of the Government of Saskatchewan for a variety of administrative functions that are not carried out on-site at Kelsey. Some examples of administrative functions and the government department responsible for them are the following:

1. Personnel matters are subject to the policies, guidelines and procedures of the Public Service Commission.
2. Purchasing is done by the Department of Supply and Services.
3. Payments for all expenditures necessary for the operation of the Institute are made from a revolving fund by the Department of Finance.
4. Physical facilities are renovated and maintained by the Department of Supply and Services.

Two other notable features of institute operation relate to the disposition of revenues generated from institute activities and the status of institute employees. Under The Department of Advanced Education and Manpower Act (1983), all tuition fees and other revenues that are collected by Kelsey are paid to the Minister of Finance to be credited to the Kelsey Institute revolving fund. With respect to employment status, all academic and non-academic staff at Kelsey, as well as at the other technical institutes, are members of the Saskatchewan Government Employees' Union (SGEU). This means that collective bargaining on behalf of Kelsey employees is carried out between representatives of the Government of Saskatchewan and SGEU rather than between representatives of Kelsey management and Kelsey employees.

The policies which govern the administration of Kelsey Institute are the policies of the Government of Saskatchewan. As government priorities and policies are developed and implemented, Kelsey Institute priorites and policies are altered accordingly. The Institute is a relatively small part of the overall government operation pursuing a broad range of goals. The Kelsey context may be summarized by the following statement from the 1983-84 Annual Report of the Department of Advanced Education and Manpower(1984:3):

> During the year under review, the Department of Advanced Education and Manpower completed the first full year of operation under its new authority. The department has been mandated to:
> -establish, supervise, and administer institutes to provide Saskatchewan residents with educational and training opportunities, courses of study and instruction for various trades and occupations, and programs that enrich knowledge and appreciation of civic, cultural, or recreational matters.

THE FINDINGS

As indicated earlier, the two policies chosen for examination at Kelsey were those on competency based learning (CBL) and student counselling and discipline. The method of selection of these policies was described in detail in Chapter 3. The initial part of each interview with the study participants probed for the forces that gave rise to each of the policy issues. In the case of both policies at Kelsey, there were several forces that combined to articulate the need for new provinicial or institutional policies. For each policy, these forces are described first, followed by a detailed discussion of the eight organizational design elements used to describe the policy organization.

Origin of the Competency Based Learning Policy

As early as 1977, senior members of Saskatchewan's Department of Continuing Education were interested in the potential of competency based educational techniques for increasing the accessibility and the flexibility of technical educational programs in the province. A high degree of apparent success had been achieved at several centres in the United States where this philosophy of program design and delivery had been fully developed. Representatives from Saskatchewan Continuing Education and the technical institutes visited the Area 916 Vocational Technical Institute in White Bear Lake, Minnesota, to observe and evaluate a variety of programs which were developed totally on the competency based education approach. This visit convinced the Deputy Minister of the Department of Continuing Education that the immediate implementation of a competency based learning (CBL) approach in the Saskatchewan technical institutes would be desirable.

The original thrust towards CBL was lost, however, when a change of Deputy Minister occurred in the Department of

Continuing Education. Following the election of a new Conservative government in 1982, the Department confirmed the province's commitment to program standardization and flexible program delivery in postsecondary education. As part of a Departmental reorganization, there was a need to define the role of central office personnel in the implementation of the revitalized CBL initiative.

In addition to confirming its commitment to improving the accessibility and flexibility of postsecondary educational programs, the new Government of Saskatchewan announced its intention to provide for a sixty percent expansion of the province's technical training capacity over the next three years. The CBL approach was seen as one way of increasing training capacity through flexible scheduling rather than through construction of new facilities.

Physical expansion of training facilities was also planned in terms of growth for the existing technical institutes in Regina, Moose Jaw, and Saskatoon, as well as construction of a fourth technical institute in Prince Albert. With substantial growth in the number of technical education programs being planned, CBL was seen as a method of both exercising quality control on a provincial basis and ensuring articulation among the technical institutes and community colleges offering technical/vocational programs.

These various forces merged to produce a sequence of events leading to the development of a provincial policy on program development which was approved by the Executive

Committee of Saskatchewan Advanced Education and Manpower on April 4, 1983.

Organizational Design Elements for the Competency Based Learning Policy

The research findings related to the eight organizational design elements are presented in this section. The discussion is based primarily on data gathered from the survey questionnaires, although interview data are incorporated to support or clarify the issues, where appropriate.

Structure. The purpose of gathering information on this element was to answer the question "What is the formal structure of the policy organization?" The results obtained for the competency based learning policy are presented in Table 26 and represent a composite picture based on both the descriptions obtained from the questionnaires and further clarifying comments provided during the interviews.

The results in Table 26 show that the formal structure of the policy organization was made up of several groups that were involved in the policy setting process. Before describing the process of setting the policy, some further background information is reviewed.

The initial decision on the part of the Department of Continuing Education to implement a CBL approach to technical education was never expressed in the form of an explicit policy. During the period 1977-79, however, the Program Development Branch of the Department worked with the

Table 26

Respondents' Perceptions of the Formal Structure of the Policy Organization

	Task/Activity	Person(s) Responsible
1.	Articulation of the policy issue	Various; described in previous section
2.	Program Development Officer (PDO) positions established in the technical institutes	Program Planning Branch
3.	Evaluation of PDO positions and CBL implementation at request of Treasury Board	Program Planning Branch
4.	Put item on agenda of Executive Committee for discussion; Program Development Branch asked to draft policy on CBL	Assistant Deputy Minister, Advanced Education Division; Executive Committee
5.	Draft CBL policy statement	Program Development Branch personnel
6.	Review of CBL policy proposal; request to broaden policy to address the general issues of program development	Executive Committee
7.	Meeting with institutional PDOs	Director, Program Development Branch
8.	Draft program development policy statement	Director, Program Development Branch
9.	Several cycles of discussions, revisions, and redrafts of policy, guidelines, and procedures statements	Program Development Branch personnel; Institute Principals' Committee; Executive Committee
10.	Agenda item -- review of final revised policy, guidelines, and procedures; approval of policy statement	Executive Committee
11.	Distribute approved policy to all instructional staff in technical institutes as well as all Divisions in central office	Director, Program Development Branch

institutes in support of modularization of curriculum materials in program areas that showed a willingness to convert to the CBL philosophy. At Kelsey Institute, most of the early program redesign occurred in the Industrial Division for such programs as Welding, Cabinet Making/ Millwork, and Farm Machinery Mechanic. This activity was further supported by sending Kelsey instructional staff to sites in Canada and the United States where examples of the successful implementation of CBL program delivery were operating. In addition, the Department of Continuing Education ran a number of seminars on competency based vocational education, featuring speakers from outside the province.

In 1980, additional resources to undertake the required program redesign in selected areas were provided in the form of Program Development Officers in each of the technical institutes. Two full-time positions of this nature were allocated to Kelsey Institute. Provision of these resources was accompanied by a requirement that the pilot projects undertaken in 1980-81 be evaluated formally. The completion in 1982 of an evaluation report on CBL implementation, combined with the election of a new Conservative government, provided new impetus to the establishment of a policy related to competency based education.

As noted earlier, the new government established two priorities with respect to program development for postsecondary education; these were to improve, where possible, both the accessibility of programs and the flexibility of program delivery. The recently completed report which evaluated the pilot projects on CBL in the technical institutes was reviewed by the Executive Committee of the new Department of Advanced Education and Manpower. The Executive Committee was made up of the five senior Departmental officials: (1) the Deputy Minister, (2) two Assistant Deputy Ministers of the Advanced Education and Manpower Divisions, and (3) two Executive Directors of the Administrative Services and Planning Divisions. As a result of this review, the Program Development Branch was asked to draft a policy statement on competency based learning.

The initial draft of the CBL policy was viewed to be too narrow in scope. The Executive Committee requested that a more general policy on program development be written, emphasizing the need for program accessibility, flexibility, and articulation but stopping short of prescribing CBL as the only way to achieve these characteristics. The Director of the Program Development Branch took the lead in meeting first with the Program Development Officers from the three technical institutes and later with the Principals.

Over the next month and a half, several successive drafts of the proposed policy were reviewed by various individuals and groups, including the Assistant Deputy Minister of Advanced Education, the Principals of the technical institutes, the Principals' Committee, and the Departmental Executive Committee. At each stage of review, suggestions for improvement were incorporated into the next draft of the policy.

By the end of March, 1983, a fifth draft of the policy had been written; this version received final approval by the Department's Executive Committee on April 4, 1983. The approved policy, guidelines, and procedures were printed and distributed to all technical institute instructors and management personnel, as well as to all divisions in the Department.

This description indicated that there were identifiable groups and individuals in both the Department of Advanced Education and the three technical institutes that were involved in the setting of the program development policy. A hierarchical relationship between the two principal groups involved -- the Executive Committee of the Department and the Committee of Principals of the technical institutes -- was evident, with a third group -- the Program Development Branch -- serving a staff function. It was not clear, however, that these relationships represented any kind of stable structure that might be utilized in the development of other policies. In fact, the program development policy was considered by the Departmental officials who were interviewed to be the first case of policy setting that resulted in an explicit, published policy statement.

Although the original policy issue centred on an earlier government initiative related to competency based education for technical programs, the policy development process broadened the issue to deal with program development in general. Further discussion of this point during the interview phase of the study revealed two consequences of this shift in policy emphasis:

1. The management and academic staff at Kelsey Institute still viewed the policy in terms of the original CBL issue; that is, from the institutional point of view, the policy was interpreted as a CBL policy rather than as a more general policy on program development. For this reason, the original terminology associated with the policy issue was retained for the purposes of this study.
2. The policy statement, while addressing the general issue of program development was written to apply specifically to technical institutes. Although the scope of the policy issue was broadened, no attempt was made to develop a provincial policy on program development that would apply to all postsecondary institutions, including those that were board governed.

The formal structure of the policy organization, then, was comprised of formal structural elements of technical institute administration, but did not have any explicit or informal guidelines related to policy setting as a function of these groups. Further discussion of this point during the interviews revealed considerable difficulty in reaching a definition of policy that might be appropriate in the context of Kelsey Institute. This was a further indication that policy setting was not a well developed function and that there was not a stable, explicit structure associated with policy setting per se.

Goals. The purpose for gathering information on this element was to answer the question, "What are the goals of the policy?"

The results obtained for the policy on competency based learning are presented in Table 27. These results indicate that the principal goal of the CBL policy was to address an issue emerging from the environment outside of Kelsey Institute. Three statements were rated as describing the goals of the policy to a moderate extent; these were to: (1) facilitate the achievement of institutional long term goals, (2) set a new direction for Kelsey that was perceived to be of strategic importance, and (3) address an initiative taken by a specific interest group. Items five through eight were thought to be the goals of the CBL policy to only a small extent.

The principal goal of addressing an issue in Kelsey's external environment was consistent with the developmental history of the competency based education issue. The policy originated in the late 1970s as an initiative from the Department of Continuing Education, based on the values of the Deputy Minister and other senior Departmental officials at that time.

The view that CBL would facilitate the achievement of long term Kelsey goals or set a new direction of strategic importance to Kelsey, both to a moderate extent, may have

Table 27

Respondents' Perceptions of the Goals of the Policy

	Frequency *						
Item	1	2	3	4	5	N	Mean
Indicate the extent to which the following statements describe the goal of the policy.							
1. Set a new direction for Kelsey that is perceived to be of strategic importance to the institution	1	4	3	3	0	11	2.7
2. Address an issue emerging from the environment outside of Kelsey	1	1	3	1	5	11	3.7
3. Address an initiative taken by a specific interest group	1	5	3	2	0	11	2.5
4. Facilitate the achievement of specific institutional long term goals	2	1	5	3	0	11	2.8
5. Facilitate the achievement of specific institutional short term goals	4	3	2	2	0	11	2.2
6. Solve a specific organizational problem by establishing new guidelines and procedures	5	4	1	1	0	11	1.8
7. Formalize institutional commitment to past practices and procedures	4	2	4	1	0	11	2.2
8. Update an existing policy	6	2	1	2	0	11	1.9

* The scale used for these items was : 1 = not at all; 2 = to a small extent; 3 = to a moderate extent; 4 = to a great extent; 5 = to a very great extent

occurred because the policy problem was one which was identified outside of Kelsey, in the Department. Further discussion of this point during the interviews disclosed two related points. First, although the senior administration within Kelsey had been clear about the Departmental priority placed on conversion to a competency based delivery format, program supervisors felt that they had been left largely on their own to accomplish the conversion without additional resources. Second, by the time this study was conducted, Kelsey had had enough experience with the CBL approach in some program areas to understand that the benefits of the CBL system also had some clear costs associated with it. In favor of CBL were the aspects of open entry/open exit, self-paced learning, and modularized curriculum materials. On the other hand, Kelsey's experience was that, on average, students took longer to complete a particular section of material using CBL, resulting in higher costs of training. Also, exam results did not indicate any improved effectivenesss of learning on the part of students using the CBL route. Finally, some students experienced significant difficulty adjusting to the self-directed learning style.

Members. The purpose of gathering information on this element was to answer the question, "What is the nature of the membership of the policy organization?"

The results obtained for the CBL policy are shown in Table 28. These results show that involvement in the policy setting process was determined to a moderate extent by all

Table 28

Respondents' Perceptions of the Nature of the Members of the Policy Organization

	Frequency *						
Item	1	2	3	4	5	N	Mean
Indicate the extent to which the following statements are true regarding your role in the policy making process.							
1. I was involved in the policy development process because of:							
a) my knowledge and expertise in the subject matter related to the policy	1	4	1	1	3	10	3.1
b) my membership in an interest group affected by the policy	3	2	1	2	2	10	2.8
c) my membership in a group that is part of the formal structure of policy setting at Kelsey	3	1	4	1	1	10	2.6
2. My role in the policy process was that of:							
a) a person who prepared the initial policy statement	5	1	2	1	1	10	2.2
b) a person being consulted regarding my concerns and ideas on the policy	2	1	3	2	2	10	3.1
c) a person granting final approval of the polcy	6	1	1	0	2	10	2.1
3. I employed specific actions in an attempt to influence the course of the policy process	3	0	4	1	2	10	2.9

Table 28 (continued)

Respondents' Perceptions of the Nature of the Members of the Policy Organization

Item	Frequency * 1	2	3	4	5	N	Mean
4. The final policy incorporated my preferences for the wording of the policy statement	3	2	1	3	1	10	2.7
5. My involvement was continuous throughout the consideration of the policy	3	1	0	4	2	10	3.1
6. The other primary participants involved remained the same throughout the policy setting process	2	3	0	4	0	9	2.7

* The scale used for these items was : 1 = not at all; 2 = to a small extent; 3 = to a moderate extent; 4 = to a great extent; 5 = to a very great extent

three factors cited -- knowledge in the policy subject matter, membership in an affected interest group, and membership in a group that was part of the formal structure -- with the last factor being rated the lowest of the three. The role of those involved in setting the policy was, to a moderate extent, that of offering concerns and ideas on the proposed policy. Other roles that were performed to a small extent were those of preparing the initial policy statement or granting final approval to the policy. The remainder of the results in Table 28 indicate that several factors of member behavior all occurred to a moderate extent.

The pattern of results changed, however, when the average ratings by Kelsey personnel and by Advanced Education personnel were examined separately. This comparison is shown in Table 29, and shows that the views within Saskatchewan Advanced Education and Manpower (SAEM) differed noticeably from the views within Kelsey Institute. For example, SAEM personnel saw themselves as involved in the policy process to a great extent because of both their expertise in the policy subject matter and their membership in an interest group, the Department, affected by the policy; they saw their involvement as being due, to a relatively small extent, to their membership in the formal structure of policy setting. Kelsey personnel, however, viewed their involvement to have occurred primarily due to their membership in the formal structure, and then, only to a moderate extent.

The perceptions of the roles played in setting the CBL

Table 29

Respondents' Perceptions of the Nature of the Members of the Policy Organization

Item	Mean Kelsey	SAEM
Indicate the extent to which the following statements are true regarding your role in the policy making process.		
1. I was involved in the policy development process because of:		
a) my knowledge and expertise in the policy subject matter	2.3	4.3
b) my membership in an interest group affected by the policy	2.2	3.8
c) my membership in a group that is part of the formal structure of policy setting at Kelsey	2.7	2.5
2. My role in the policy process was that of:		
a) a person who prepared the initial policy statement	1.5	3.3
b) a person being consulted regarding my concerns and ideas	2.7	3.8
c) a person granting final approval of the policy	1.8	2.5
3. I employed specific actions in an attempt to influence the course of the policy process	2.3	3.8
4. The final policy incorporated my preferences for the wording of the of the policy statement	1.7	4.3
5. My involvement was continuous throughout the consideration of the policy	2.3	4.3
6. The other primary participants remained the same throughout the policy setting process	2.5	3.3

policy also differed between Kelsey and SAEM personnel. Kelsey people viewed their role, to a moderate extent, as one of being consulted with respect to their views on the proposed policy and, to a small extent, as one of drafting the policy or granting final approval to the policy. The Departmental personnel were in the role of being consulted to a great extent, and also of drafting the policy to a moderate extent.

Finally, the level of involvement of Kelsey and SAEM personnel was qualitatively different as shown by the results for items three through six. SAEM people attempted to influence the course of the policy process, felt that their preferences for wording of the policy were accepted, and maintained continuous involvement in the policy process, all to a great extent. Kelsey personnel saw their level of involvement in these three aspects as occurring to only a small extent. Both groups of participants agreed that, to a moderate extent, the primary participants in setting the CBL policy remained the same.

These differing views between Kelsey and SAEM personnel were consistent with the results discussed for the element of formal structure. The policy issue was initiated and managed by Departmental personnel in Regina. People at Kelsey Institute, and the other technical institutes, were involved in a role of reacting to policy proposals written in Regina. Also, the moderate to low importance of formal structure in determining the members of the policy organization reinforced the finding that a stable, explicit structure for the purpose of policy setting was not evident in this case.

Environment. The purpose for gathering information on this element was to answer the question "What is the nature of the environment of the policy organization?"

The results obtained for the policy on competency based learning are presented in Table 30. These results show that, to a very small extent, the direction of the policy setting process was determined primarily by people within Kelsey Institute. At the same time, external environmental forces were felt to be acting on Kelsey to a small extent. The views of those outside Kelsey Institute were known to a great extent and were moderately uniform. The organizational environment within Kelsey was characterized by views that were known to a small extent and that were not uniform. The CBL policy was moderately connected to other issues and policies within the Institute.

The very small degree of control exercised by those within Kelsey over the policy setting process was consistent with the findings discussed already for the elements of formal structure and members. That is, the policy issue arose initially within the Department of Advanced Education and Manpower and members of the Department maintained a high level of involvement in drafting the policy and directing the course of the policy process. Thus the views of those outside of Kelsey were clearly known. With a low level of involvement in the policy process by Kelsey personnel, the

Table 30

Respondents' Perceptions of the Nature of the Environment of the Policy Organization

Item	Frequency * 1	2	3	4	5	N	Mean
Indicate the extent to which the following statements are true of the conditions associated with the development of the policy.							
1. There were few, if any, forces acting on Kelsey from outside to initiate consideration of the policy	5	1	2	2	0	10	2.1
2. The direction of the policy setting process was determined primarily by people within Kelsey	5	5	1	0	0	11	1.6
3. The environment outside Kelsey was characterized by known points of view	1	0	2	6	2	11	3.7
4. The environment outside Kelsey was characterized by uniform points of view	1	2	5	3	0	11	2.9
5. The environment inside Kelsey was characterized by known points of view	3	3	5	0	0	11	2.2
6. The environment inside Kelsey was characterized by uniform points of view	4	4	2	0	0	10	1.8
7. The policy on CBL had connections with many other issues and policies within Kelsey	2	1	4	2	1	10	2.9

* The scale used for these items was : 1 = not at all; 2 = to a small extent; 3 = to a moderate extent; 4 = to a great extent; 5 = to a very great extent

views of those within the institution were known to only a small extent. Those views that were known were not uniform. Discussion of this point during the interviews revealed that there were pockets of support for the CBL approach within Kelsey; there were also pockets of opposition to the notion of a wholesale conversion to the CBL philosophy. These divergent views on the competency based education issue led to a low degree of uniformity among the views within Kelsey.

Resources. The purpose of gathering information on this element was to answer the question "What organizational resources are allocated specifically to the policy setting process?"

The results obtained for the resources element of the CBL policy are presented in Table 31. These results show that, except for legal information, the full range of resources listed was used to a moderate extent. Three resources were used to a somewhat greater extent than the others; these were: (1) position power, (2) research information, and (3) other organizational resources. The other organizational resources cited by respondents were visits to Canadian and American institutions with programs on a CBL format, and input from Principals and Departmental personnel. Legal information was used to almost no extent. Also, the explicit allocation of resources for development of the CBL policy occurred to a small extent.

The moderate use of information gathered through research and visits to other sites across Canada and the

Table 31

Respondents' Perceptions of the Resources of the Policy Organization

Item	Frequency * 1	2	3	4	5	N	Mean
Indicate the extent to which the following statements are true of the resources used to set the policy.							
1. The resources used to accomplish the process were:							
a) in-depth knowledge related to the policy issue	2	3	4	1	1	11	2.6
b) personal ability to persuade	1	2	5	2	1	11	3.0
c) knowledge of the policy setting process	2	2	4	3	0	11	2.7
d) power derived from position in the organization	1	1	4	3	2	11	3.4
e) legal information	8	3	0	0	0	11	1.3
f) information gathered through research	1	3	2	2	3	11	3.3
g) other organizational resources	0	0	3	1	0	4	3.3
2. Resources to accomplish the setting of the policy were explicitly allocated to participants in the policy making process	4	4	1	0	1	10	2.0

* The scale used for these items was : 1 = not at all; 2 = to a small extent; 3 = to a moderate extent; 4 = to a great extent; 5 = to a very great extent

United States suggests that resources were explicitly allocated for this policy setting activity. However, the view of those involved was that explicit allocation of resources occurred to only a small extent. This apparent inconsistency may mean that the members of the policy organization considered the resources that were allocated to be significantly short of what was required at the time.

Tasks. The purpose of gathering information on this element was to answer the question "What is the nature of the tasks performed by the members of the policy organization?"

The results obtained for this element are presented in Table 32. These results show that the tasks of policy setting were identified moderately clearly but that those responsible for the tasks were acquainted with the policy setting process to a relatively small extent. For the competency based learning policy, the primary task was that of accepting a policy that was determined outside of Kelsey. The other four tasks of identifying the problem, developing policy alternatives, debating the alternatives, and deciding on the policy statement all occurred to a moderate extent. To a relatively small extent, the tasks of policy setting were viewed to be routine and to be similar to the tasks for setting other policies.

The moderate to low degree of task identification and acquaintance with the policy process was compatible with the picture developed so far of a policy organization without a well developed structure for dealing with the process of

Table 32

Respondents' Perceptions of the Nature of the Tasks Performed in the Policy Organization

Item	Frequency * 1	2	3	4	5	N	Mean
Indicate the extent to which the following statements are true of the tasks of setting the policy.							
1. The tasks were clearly identified	0	6	3	1	1	11	2.7
2. Those responsible for various tasks were well acquainted with the policy process	3	3	3	2	0	11	2.4
3. The specific tasks were:							
a) identifying the problem	0	3	1	4	1	9	3.3
b) developing alternative policy positions	0	4	3	2	0	9	2.8
c) debating the relative merit of the policy alternatives	1	2	3	2	1	9	3.0
d) deciding on the most appropriate policy statement	0	3	4	2	0	9	2.9
e) accepting a policy that was determined outside of Kelsey	0	0	2	6	1	9	3.9
4. The tasks occurred as a routine sequence of events	2	2	5	1	0	10	2.5
5. The tasks were the same as for other policies	2	2	4	1	0	9	2.4

* The scale used for these items was : 1 = not at all; 2 = to a small extent; 3 = to a moderate extent; 4 = to a great extent; 5 = to a very great extent

policy setting per se.

The view that the primary task was to accept a policy that was set outside of Kelsey was also consistent with the results discussed so far for structure, members, and environment. From the data on formal structure and members, it was evident that the policy issue arose and was managed primarily in the Department of Advanced Education and Manpower. Also, the results on the environment element indicated that people within Kelsey directed the policy setting process to a very small extent.

The other four tasks identified here as occurring to a moderate extent were each reported in the descriptions provided on the questionnaires for the element of structure. As noted earlier, identifying the policy issue was an important part of the policy process and resulted in a broadening of the policy focus from competency based learning to general program development.

The relatively low degree of routineness and similarity to the tasks of setting other policies may have been related to the relative lack of stability of the formal structure of the policy organization.

Decision making. The purpose of gathering information on this element was to answer the question "What is the nature of the policy decision making process?"

The results obtained for the CBL policy are presented in Table 33. These results show that policy decision making was characterized to a great extent by control of the process by

Table 33

Respondents' Perceptions of the Nature of the Policy Decision Making Process

	Frequency *						
Item	1	2	3	4	5	N	Mean
Indicate the extent to which the following statements are true of the decision process.							
1. The policy decision was made by:							
a) applying pre-set procedures	4	1	3	1	0	9	2.1
b) negotiation and bargaining among various groups	1	2	3	1	2	9	3.1
c) reference to the facts which were known	0	3	1	3	2	9	3.4
d) a small number of people who controlled the policy process	0	0	2	4	4	10	4.2
e) the chance interaction between various people and various issues	4	2	4	0	0	10	2.0
2. Policy decision making was an open process that allowed for participation by a broad range of people	3	4	2	0	1	10	2.2
3. The policy statement was granted final approval by:							
a) an institute committee	4	1	0	3	0	8	2.3
b) the Principal	1	3	1	2	1	8	2.9
c) Principals' Committee	1	3	1	3	0	8	2.8
d) the Department of Advanced Education	0	0	1	4	5	10	4.4

* The scale used for these items was : 1 = not at all; 2 = to a small extent; 3 = to a moderate extent; 4 = to a great extent; 5 = to a very great extent

a small number of people, to a moderate extent by reference to known facts and negotiation and bargaining among various groups, and to a small extent by the application of pre-set procedures and chance interaction between people and issues. Participation by a broad range of people within Kelsey occurred to a small extent. Final approval was viewed to have been granted to a great extent by the Department of Advanced Education and Manpower, while the Principal of Kelsey and the Principals' Committee were viewed to have had moderate involvement in granting final approval. Institute Committee involvement in granting final approval occurred to a small extent.

The image of policy decision making as a process controlled by a relatively small number of people and with only a small degree of participation by a broad range of people within Kelsey was confirmed as an accurate picture during the interviews. When the issue of competency based education first arose in 1977, the Deputy Minister of the day adopted this philosophy as a top priority for technical education in Saskatchewan. Without much consultation with the technical institutes, the Deputy Minister declared his intention that all programs in the technical institutes should move to the CBL format as soon as possible. No formal policy was developed nor additional resources provided in support of this major curriculum development initiative. As a result, only the few pockets of willingness that existed at the time of the Deputy's declaration proceeded actively with the implementation of the CBL concept. Other pockets of strong opposition to the CBL approach developed in program areas that felt that CBL was not appropriate for their particular program.

With the change of government in 1982 and with some years of experience in trying to implement the CBL approach, the need for a formal policy in support of the initiative was recognized. Although more extensive consultation with technical institute personnel occurred during the period of policy development in 1983, this process was seen by Kelsey Institute personnel as little more than formalization of an issue that had always been a Departmental initiative. As noted earlier under structure, even though the final policy addressed the broader issue of program development without prescribing a CBL approach exclusively, Kelsey personnel continued to view the Department's priority to be the original desire for a competency based learning program format.

Communications. The purpose of gathering information on this element was to answer the question "What is the nature of communications that occur within the policy organization?"

The results obtained for the CBL policy are shown in Table 34. These results show that written communications were used to a great extent while verbal communications were used to a moderate extent. Information was actively discussed by groups throughout Kelsey to a moderate extent. The Department of Advanced Education and Manpower was the

Table 34

Respondents' Perceptions of the Nature of the Communications in the Policy Organization

Item	Frequency * 1	2	3	4	5	n	Mean
Indicate the extent to which the following statements are true of the communications in the policy setting process.							
1. Information was shared through written communications	0	1	3	3	2	9	3.7
2. Information was shared through verbal communications	0	3	1	4	1	9	3.3
3. Information was actively discussed by groups throughout Kelsey	1	2	2	3	0	8	2.9
4. Information was provided by:							
a) the Principal	0	1	1	4	1	7	3.7
b) an Assistant Principal	1	2	0	4	0	7	3.0
c) Principals' Committee	2	1	2	2	0	7	2.6
d) the Department of Advanced Education	0	0	1	4	4	9	4.3
5. The information that was communicated was timely	0	3	2	1	1	7	3.0
6. The information that was communicated was accurate	0	2	2	2	1	7	3.3
7. Discussion was stimulated by the distribution of a policy review paper	3	1	0	4	1	9	2.9

* The scale used for these items was : 1 = not at all; 2 = to a small extent; 3 = to a moderate extent; 4 = to a great extent; 5 = to a very great extent

principal sourcc of information, with the Principal also providing information to a great extent. An Assistant Principal and the Principals' Committee supplied information to a moderate extent. The information that was communicated was viewed to be both moderately accurate and timely. Discussion was stimulated to a moderate extent by the use of a policy review paper.

The greater use of written communications than verbal communications was due to the geographical separation of the parties involved in the policy process. The moderate degree of active discussion throughout Kelsey indicated that, within the Institute, there was a moderate level of interest in the issue; however, participation of a broad range of Kelsey personnel in the policy decision process occurred to only a small extent as noted in the earlier discussion on the element of decision making. Discussion during the policy setting process focused on drafts of the proposed policy which formed the basis for review and comments from a variety of groups and individuals.

Origin of the Student Counselling Policy

For a number of years prior to the 1983/84 academic year, student counselling and discipline problems that could not be resolved at the program level within Kelsey were referred to a Committee on Studies. This committee was chaired by the Assistant Principal - Programs, and it handled various types of problems which ranged from academic difficulties to inappropriate student conduct, such as cheating.

Despite the existence of a formal appeal mechanism for program-related student problems, there were no formal guidelines to describe the Institute's position on the variety of issues that were being referred to the Committee on Studies. As a result, a large volume of cases came before the committee. Also, treatment of individual student problems was perceived to be inconsistent at both the program level and the Committee on Studies level.

In Regina, the Department of Advanced Education and Manpower had become sensitized to the need for a formal student grievance procedure when a student attending the Wascana Institute of Applied Arts and Sciences had appealed directly to the MLA for the area over an interpretation of the Institute's academic regulations. This case was symbolic of the emergence of the broader issue of human rights and, for the postsecondary education sector, the appropriate balance between student rights and responsibilities.

By the fall of 1983, the Department of Advanced Education and Manpower had developed a student grievance procedure which provided for the establishment of a Grievance Committee at each technical institute. The Grievance Committee would act as a quasi-judicial body that reviewed the information submitted by the student and institute personnel involved. The function of this committee was to formulate a recommendation for action to the Assistant Principal - Programs.

These various provincial and institutional forces combined to point out the need for clearly stated guidelines for handling student counselling and discipline within Kelsey, and initiated a sequence of events that led to the development of a Kelsey statement of policy, guidelines, and procedures which was approved by the Principal in June, 1984.

Organizational Design Elements for the Student Counselling and Discipline Policy

The research findings for the eight organizational design elements are presented in this section for the second policy studied at Kelsey Institute.

Structure. The results obtained for the student counselling policy are presented in Table 35, and they represent a composite picture based on both the descriptions obtained from the questionnaire and clarifying comments provided during the interviews.

In the context of an increasing sensitivity to student rights on the part of students and the general public, the need for clearly stated guidelines related to student counselling and discipline within Kelsey Institute was raised by some members of the Kelsey Management Council. The Council recognized the need to establish explicit guidelines and procedures for use by both students and academic staff in dealing with issues of academic progress and student conduct.

Thus, the first step in the interest aggregation process occurred through the Kelsey Management Council (KMC), a body which was advisory to the Principal on the full range of

Table 35

Respondents' Perceptions of the Formal Structure of the Policy Organization

	Task/Activity	Person(s) Responsible
1.	Articulation of the policy issue	Various; described in previous section
2.	Put item on agenda of Kelsey Management Council (KMC)	Assistant Principal-Programs (A/P-P)
3.	Sub-committee of KMC established to review and address issues	Chairman of KMC (A/P-P)
4.	Review existing practices; gather information from staff, literature, and other colleges	Sub-committee members
5.	Draft policy and guidelines	Sub-committee Chairman
6.	Agenda item -- preliminary policy presented to KMC	Sub-committee Chairman
8.	Revised policy and guidelines circulated to all Program Heads, counsellors, and senior administrators	Sub-committee Chairman; Program Heads; Counsellors; senior administrators
9.	Revisions on the basis of feedback	Sub-committee members
10.	Agenda item -- presentation of revised policy and guidelines to KMC; review and recommendation for approval to the Principal	Sub-committee Chairman; A/P - P; KMC members
11.	Approval of policy statement	Principal

issues associated with the Institute's operation. Chaired by the Assistant Principal-Programs, KMC was comprised of twenty members, with representation from all constituent groups within the Institute, as follows: (1) the Principal, (2) two Assistant Principals, (3) the Controller, (4) six Divisional Chairpersons, (5) the Registrar. (6) the Director of Student Services, (7) one Kelsey Faculty Council representative, (8) one Kelsey Student Association representative, (9) five faculty representatives from the academic Divisions, excluding Continuing Studies, and (10) one Kelsey Alumni Association representative.

The results in Table 35 show that the formal structure of the policy organization was made up of several groups in addition to the Kelsey Management Council. In the case of the student counselling issue, a sub-committee of KMC was formed to review existing practices, research and explore alternative procedures, and draft an initial statement of policy and guidelines. The sub-committee was chaired by the Division Chairperson of the Health Sciences Division and included four other members: one Counsellor from the Student Services Division, and three faculty representatives, one each from the Industrial, Applied Sciences, and Personal and Community Services Divisions. This structure for the sub-committee occurred as a result of two factors: (1) the sensitivity within the Health Sciences Division to issues of student conduct, and (2) the desire to have each academic Division that delivered programs represented.

At the initial meeting of the KMC sub-committee problems and concerns with the existing counselling and discipline procedures were discussed. Members of the committee then reviewed and discussed these issues with program staff in their areas. Based on this input and information gathered from other institutions, the Chairman of the sub-committee prepared an initial policy and guidelines document. This draft was then reviewed by Kelsey Management Council. Revisions were made to the proposed policy and guidelines on the basis of discussion in the Kelsey Management Council.

The revised document was then circulated quite widely to program supervisors, counsellors, and senior administrators for further review and feedback. The policy amd guidelines were rewritten by the Chairman of the KMC sub-committee to incorporate the suggestions received from various people within Kelsey.

The revised policy and guidelines were reviewed for a final time by Kelsey Management Council; this group recommended approval to the Principal. The Principal's formal approval of the policy and guidelines occurred on June 4, 1984. The approved document was distributed to line program supervisors for their use in dealing with student counselling and discipline issues.

This description indicates that there were various groups and individuals that were involved in the development of the student counselling and discipline policy. One of the principal groups involved in setting the policy -- the Kelsey

Management Council -- was an advisory body reporting to the Principal, not a line decision making body. Also, the other primary group which actually carried out the background development work on the policy issues was an ad hoc sub-committee of KMC. These relationships represented relatively weak lines of authority. In addition, the direct communication between an ad hoc sub-committee and line program supervisors was a temporary relationship that circumvented the normal channels of communication.

The volume of policy setting activity that occurred at an institutional level for Kelsey was quite small. During the interviews, it became evident that there were two types of policies that affected Kelsey Institute -- those that were determined in a department of government and handed down to the technical institutes for implementation, and those that were developed locally within Kelsey. Of the six policies originally considered for detailed study at Kelsey, four were of the former type and two were of the latter type. As a relatively stable institution which had been in operation for more than twenty years, Kelsey Institute was not engaged in a large volume of policy setting activity. This was a sharp contrast to the NAIT situation in which a major change to the institutional governance structure had stimulated the review and development of many policies.

The relative inactivity of the policy organization at Kelsey, then, had resulted in the retention of almost no stable, formal lines of authority for the process of policy making. The student counselling and discipline policy was developed using primarily ad hoc structures and lines of communication.

Goals. The results for the goals element are presented in Table 36.

These results indicate that three statements were rated as describing the goals of the policy to a great extent; these were to: (1) solve a specific organizational problem, (2) facilitate the achievement of institutional long term goals, and (3) set a new direction for Kelsey that is perceived to be of strategic importance. All the other statements except item two were viewed to be the goal of the policy to a moderate extent. Addressing an item emerging from Kelsey's external environment was thought to be the goal of the policy to a small extent.

The goals of the policy were consistent with the forces described earlier as initiating the consideration of the student counselling issue. At one level, Kelsey Institute lacked any explicitly stated guidelines related to student counselling and discipline. This became identified as a specific organizational problem in that neither students nor program supervisors had any explicit frame of reference to guide their behavior in dealing with situations involving counselling on program related issues. At another level, Kelsey's need to manage the broad issue of student rights in the provincial context represented a salient long term goal of strategic importance. This latter level of consideration

Table 36

Respondents' Perceptions of the Goals of the Policy

	Frequency *						
Item	1	2	3	4	5	N	Mean
Indicate the extent to which the following statements describe the goal of the policy.							
1. Set a new direction for Kelsey that is perceived to be of strategic importance to the institution	0	2	1	1	3	7	3.7
2. Address an issue emerging from the environment outside of Kelsey	2	3	2	0	0	7	2.0
3. Address an initiative taken by a specific interest group	0	3	2	2	0	7	2.9
4. Facilitate the achievement of specific institutional long term goals	0	0	1	5	1	7	4.0
5. Facilitate the achievement of specific institutional short term goals	1	2	2	0	1	6	2.7
6. Solve a specific organizational problem by establishing new guidelines and procedures	1	0	0	2	4	7	4.1
7. Formalize institutional commitment to past practices and procedures	1	3	1	2	0	7	2.6
8. Update an existing policy	0	2	3	1	1	7	3.1

* The scale used for these items was : 1 = not at all; 2 = to a small extent; 3 = to a moderate extent; 4 = to a great extent; 5 = to a very great extent

was a significant factor in the choice of this particular policy for study. While the policy document provided very detailed procedures for managing the student counselling process, it also represented an institutional stance on an issue of a broad, ethical nature. In Paltridge's (1973) terms, this policy was operational in a narrow sense, but legislative in the broader context.

There was a sharp contrast between the two policies studied at Kelsey with respect to goal statement number two. For the CBL policy, addressing an issue emerging from the external environment was viewed to be the primary goal; for the student counselling policy, this statement received the lowest average rating. The CBL policy was essentially a Department of Advanced Education and Manpower initiative, while the student counselling policy was very much an institution based activity.

There was also a sharply different view with respect to goal statement number six. As discussed above, the student counselling policy was a response at one level to a specific organizational problem. The CBL policy, however, was not a response to any specific problem; in fact, the definition of the policy problem was a significant aspect of the policy development process that had some notable consequences already discussed in Chapter 4.

Members. The results for this element of the student counselling policy are shown in Table 37.

These results show that, to a great extent, involvement

Table 37

Respondents' Perceptions of the Nature of the Members of the Policy Organization

Item	Frequency * 1	2	3	4	5	N	Mean
Indicate the extent to which the following statements are true regarding your role in the policy making process.							
1. I was involved in the policy development process because of:							
a) my knowledge and expertise in the subject matter related to the policy	0	2	2	3	0	7	3.1
b) my membership in an interest group affected by the policy	2	2	0	2	1	7	2.7
c) my membership in a group that is part of the formal structure of policy setting at Kelsey	1	0	0	4	1	6	3.7
2. My role in the policy process was that of:							
a) a person who prepared the initial policy statement	2	3	0	1	1	7	2.4
b) a person being consulted regarding my concerns and ideas on the policy	0	0	3	3	1	7	3.7
c) a person granting final approval of the polcy	3	0	3	0	1	7	2.4
3. I employed specific actions in an attempt to influence the course of the policy process	2	2	2	1	0	7	2.3

Table 37 (continued)

Respondents' Perceptions of the Nature of the Members of the Policy Organization

Item	Frequency * 1	2	3	4	5	N	Mean
4. The final policy incorporated my preferences for the wording of the policy statement	0	0	5	2	0	7	3.3
5. My involvement was continuous throughout the consideration of the policy	1	0	1	4	1	7	3.6
6. The other primary participants involved remained the same throughout the policy setting process	0	0	0	5	2	7	4.3

* The scale used for these items was : 1 = not at all; 2 = to a small extent; 3 = to a moderate extent; 4 = to a great extent; 5 = to a very great extent

in the policy setting process occurred as a result of an individual's membership in a group that was part of the formal structure policy setting at Kelsey. Knowledge and expertise in the policy subject matter as well as membership in an interest group affected by the policy were both viewed to be the basis for membership in the policy organization to a moderate extent.

The role of those involved in setting the policy on student counselling was, to a great extent, that of offering concerns and ideas with respect to the policy statement. Members of the policy organization saw themselves as both drafting the initial policy statement and granting final approval to the policy to a relatively small extent.

Members of the policy organization viewed themselves as employing actions to influence the course of the policy process to a small extent, despite their great extent of continuous involvement throughout the policy setting process. To a moderate extent, the final policy statement incorporated the members' preferences for the wording of the document.

The high degree of importance of formal structure in determining the members of the policy organization reflected the purposive way in which the Kesley Management Council subcommittee was chosen, utilizing representation by academic division as the criterion. As for all of the other policies studied, members saw their primary role as that of a person being consulted regarding their views and concerns on the policy. In the case of the student counselling policy, members were consulted to a great extent, while in the case of the CBL policy, members were consulted to a moderate extent.

The great extent of continuity among members of the policy organization throughout the duration of the policy setting process indicated very little change in the composit~~ion~~ of the groups involved in the formal structure of the policy process. The degree of continuity among members for this case of policy setting was rated the highest of the four policies examined in this study.

Environment. The results for this organizational design element are presented in Table 38.

These results show that, to a very great extent, the direction of the policy setting process was determined primarily by people within Kelsey Institute. At the same time, external environmental forces were felt to be acting on Kelsey to a moderate extent. The views of those outside Kelsey Institute were relatively unknown and non-uniform. The extent of knowledge and the degree of uniformity of points of view within the Kelsey internal environment were both moderate. The student counselling policy was considered to have a moderate degree of connection with other issues at Kelsey.

The very great extent of internal control over setting this policy, and the moderate extent of external forces acting to initiate consideration of the policy were both consistent with findings discussed earlier. First, the

Table 38

Respondents' Perceptions of the Nature of the Environment of the Policy Organization

Item	Frequency * 1	2	3	4	5	N	Mean
Indicate the extent to which the following statements are true of the conditions associated with the development of the policy.							
1. There were few, if any, forces acting on Kelsey from outside to initiate consideration of the policy	0	1	2	2	1	6	3.5
2. The direction of the policy setting process was determined primarily by people within Kelsey	0	0	0	2	5	7	4.7
3. The environment outside Kelsey was characterized by known points of view	1	2	0	4	0	7	2.3
4. The environment outside Kelsey was characterized by uniform points of view	2	3	1	0	0	6	1.8
5. The environment inside Kelsey was characterized by known points of view	0	2	2	3	0	7	3.1
6. The environment inside Kelsey was characterized by uniform points of view	0	2	2	2	0	6	3.0
7. The policy on student counselling had connections with many other issues and policies within Kelsey	0	2	4	1	0	7	2.9

* The scale used for these items was : 1 = not at all; 2 = to a small extent; 3 = to a moderate extent; 4 = to a great extent; 5 = to a very great extent

description of the formal structure of the policy process showed that the student counselling policy was an institutional policy developed by groups within Kelsey Institute. This point was in sharp contrast to the CBL policy in which the direction of policy setting was determined to only a small extent by those within Kelsey. Second, one of the factors described as contributing to the origin of this policy was the sensitivity to the student rights issue within the Department of Advanced Education and Manpower and the general public. This sensitivity would have provided the basis for a moderate degree of pressure for establishing clear guidelines on the issue within Kelsey.

The finding that the external environment was characterized by points of view that were known to only a small extent was in contrast to the existence of a Department of Advanced Education and Manpower student grievance procedure that came into effect if the institutional student counselling policy and guidelines were not effective in resolving an issue. Also, the view that the environment inside of Kelsey was characterized by points of view that were known to only a moderate extent contrasted with the fact that the Kelsey Management Council sub-committee was specifically structured in a way that was designed to facilitate the surfacing of the various points of view within the Institute.

The extent of connection between the policy studied and other policies and issues was the same for both the CBL and student counselling policies, a moderate extent.

Resources. The results obtained for the resources element of the student counselling policy are presented in Table 39.

These results indicate that the resource that was used to the greatest extent was in-depth knowledge related to the policy issue. All other resources, except the item termed "other organizational resources," were used to a moderate extent. The explicit allocation of resources for development of the student counselling policy occurred to a moderate extent.

This policy had the lowest average rating of all four policies studied for the use of position power as a resource in policy setting. This was compatible with the picture developed earlier for the element of formal structure in which relatively weak lines of authority existed; this feature of the structure would decrease the extent to which the opportunity for the use of position power would occur. This policy also had the highest average rating for the use of legal information as a resource in policy setting. This was due to the nature of the policy issue and the potential for legal acton if a student discipline issue was not resolved satisfactorily at the institutional level.

Tasks. The results obtained for the tasks element of the policy on student counselling and discipline are shown in Table 40.

These results show that the tasks of policy setting were

Table 39

Respondents' Perceptions of the Resources of the Policy Organization

Item	Frequency * 1	2	3	4	5	N	Mean
Indicate the extent to which the following statements are true of the resources used to set the policy.							
1. The resources used to accomplish the process were:							
a) in-depth knowledge related to the policy issue	0	1	1	5	0	7	3.6
b) personal ability to persuade	0	3	1	3	0	7	3.0
c) knowledge of the policy setting process	0	1	4	2	0	7	3.1
d) power derived from position in the organization	0	3	3	1	0	7	2.7
e) legal information	0	3	3	0	1	7	2.9
f) information gathered through research	2	2	1	1	1	7	2.6
g) other organizational resources	2	0	0	1	0	3	2.0
2. Resources to accomplish the setting of the policy were explicitly allocated to participants in the policy making process	2	1	2	1	1	7	2.7

* The scale used for these items was : 1 = not at all; 2 = to a small extent; 3 = to a moderate extent; 4 = to a great extent; 5 = to a very great extent

Table 40

Respondents' Perceptions of the Nature of the Tasks Performed in the Policy Organization

Item	Frequency * 1	2	3	4	5	N	Mean
Indicate the extent to which the following statements are true of the tasks of setting the policy.							
1. The tasks were clearly identified	0	0	2	5	0	7	3.7
2. Those responsible for various tasks were well acquainted with the policy process	0	0	6	1	0	7	3.1
3. The specific tasks were:							
a) identifying the problem	0	0	1	5	1	7	4.0
b) developing alternative policy positions	0	2	3	2	0	7	3.0
c) debating the relative merit of the policy alternatives	0	1	1	3	2	7	3.9
d) deciding on the most appropriate policy statement	0	0	0	5	2	7	4.3
e) accepting a policy that was determined outside of Kelsey	6	0	1	0	0	7	1.3
4. The tasks occurred as a routine sequence of events	0	0	2	4	0	6	3.7
5. The tasks were the same as for other policies	1	3	1	0	0	5	2.0

* The scale used for these items was : 1 = not at all; 2 = to a small extent; 3 = to a moderate extent; 4 = to a great extent; 5 = to a very great extent

clearly identified to a great extent, and that those responsible for the tasks were acquainted with the policy setting process to a moderate extent. For this policy three tasks occurred to a great extent; these were to: (1) identify the problem, (2) debate the relative merits of the policy alternatives, and (3) to decide on the most appropriate policy statement. Developing alternative policy positions took place to a moderate extent, and accepting a policy that was determined outside of Kelsey occurred to almost no extent.

The tasks of the policy process were viewed, to a great extent, to take place as a routine sequence of events. But they were considered to be similar to only a small extent to the tasks for setting other policies at Kelsey.

This policy had the highest average rating of all four policies studied for the clarity of task identification in setting the policy. This was an indication of effective leadership on the part of the Chairman of the sub-committee working on the development of the policy. Throughout the interviews, study participants referred to the Chairman as taking a strong lead in both managing the activities of the sub-committee and ensuring that the meetings were productive.

Of the three tasks that occurred to a great extent, deciding on the most appropriate policy statement was the principal task. This reflected the nature of the policy issue; the somewhat legal nature of student counselling and discipline issues called for clear, explicit wording of the policy statement. In sharp contrast to the CBL policy, the student counselling policy involved virtually no degree of acceptance of a policy determined outside of Kelsey Institute. The low degree of similarity to the tasks of setting other policies may be a result of the relatively ad hoc nature of the formal structure of the policy organization.

Decision making. The results obtained for this element are presented in Table 41.

These results show that policy decision making with respect to student counselling and discipline was characterized to a great extent by reference to the facts which were known about the policy issue. To a moderate extent, negotiation and bargaining and control of the decision making process by a small number of people were features of policy decision making in this case. Application of pre-set procedures occurred to a small extent, and the chance interaction between people and issues had no part in decision making for this policy. The opportunity for broad participation in policy decision making was provided. Final approval of the policy statement was perceived to have been granted to a great extent by the Principal and the Principals' Committee, to a moderate extent by an institute council (in this case, the Kelsey Management Council), and to a small extent by the Department of Advanced Education and Manpower.

Table 41

Respondents' Perceptions of the Nature of the Policy Decision Making Process

Item	Frequency * 1	2	3	4	5	N	Mean
Indicate the extent to which the following statements are true of the decision process.							
1. The policy decision was made by:							
a) applying pre-set procedures	1	5	1	0	0	7	2.0
b) negotiation and bargaining among various groups	2	1	1	3	0	7	2.7
c) reference to the facts which were known	0	0	2	5	0	7	3.7
d) a small number of people who controlled the policy process	1	2	2	1	1	7	2.9
e) the chance interaction between various people and various issues	6	1	0	0	0	7	1.1
2. Policy decision making was an open process that allowed for participation by a broad range of people	0	2	1	3	1	7	3.4
3. The policy statement was granted final approval by:							
a) an institute council	2	0	1	2	1	6	3.0
b) the Principal	0	1	0	1	4	6	4.3
c) Principals' Committee	1	0	0	3	1	5	3.6
d) the Department of Advanced Education	3	0	1	1	0	5	2.0

* The scale used for these items was : 1 = not at all; 2 = to a small extent; 3 = to a moderate extent; 4 = to a great extent; 5 = to a very great extent

This policy was the only one of the four policies studied in which control of the policy decision process by a small number of people occurred to less than a great extent. At the same time, this policy received the highest average rating of all four policies for the degree of openness that allowed for participation by a broad range of people within Kelsey. Together, these two results provide a picture of policy decision making in this case as a relatively democratic process in which there was a moderate degree of open participation balanced by a moderate degree of control by a small number of people.

The combination of results which showed that reference to known facts occurred to a great extent and that chance interaction between people and ~~issues~~ occurred to a little or no extent was a pattern that was common to all four policies studied. However, for the student counselling and discipline issue, the difference between the average ratings of these two characteristics was the greatest, indicating a perception among the members of the policy organization that policy decision making on this issue was a relatively rational process.

One aspect of final approval of the student counselling policy was not clear. The results which indicated that final approval was granted to a great extent by the Principal and to a moderate extent by an institute committee or council (in this case, the Kelsey Management Council) were consistent with the results of the element of formal structure, which clearly showed the involvement of both of these parties. However, the result that final approval was also granted to a great extent by the Principals' Committee was surprising in view of the absence of any apparent involvement of the Principals' Committee in the formal structure of the policy organization. Clarification of this point during the interviews indicated that some respondents had been unclear about the terminology used in the questionnaire and had considered the item entitled "Principals' Committee" to be the Kelsey Management Council (that is, the Principal's Committee). In sharp contrast to the great extent of final approval of the CBL policy by the Department of Advanced Education and Manpower, the student counselling policy was viewed to have had only a small degree of Department involvement in the final approval process.

Communications. The results obtained for this element of the student counselling and discipline policy are presented in Table 42.

These results show that written communications were used to a great extent while verbal communications were used to a moderate extent. Information was actively discussed by groups throughout Kelsey to a moderate extent. Information regarding the policy was provided to a moderate extent by the Kelsey Management Council, to a small extent by the Principal or an Assistant Principal, and to almost no extent by the Department of Advanced Education and Manpower. The information that was provided was viewed to be highly

Table 42

Respondents' Perceptions of the Nature of the Communications in the Policy Organization

Item	Frequency * 1	2	3	4	5	N	Mean
Indicate the extent to which the following statements are true of the communications in the policy setting process.							
1. Information was shared through written communications	0	0	1	3	3	7	4.3
2. Information was shared through verbal communications	0	2	1	3	1	7	3.4
3. Information was actively discussed by groups throughout Kelsey	0	3	1	2	1	7	3.1
4. Information was provided by:							
a) the Principal	3	2	0	0	1	6	2.0
b) an Assistant Principal	2	2	1	0	1	6	2.3
c) Kelsey Management Council	2	0	1	2	1	6	3.0
d) the Department of Advanced Education	4	2	0	0	0	6	1.3
5. The information that was communicated was timely	0	1	1	4	0	6	3.5
6. The information that was communicated was accurate	0	0	0	5	1	6	4.2
7. Discussion was stimulated by the distribution of a policy review paper	0	0	1	3	2	6	4.2

* The scale used for these items was : 1 = not at all; 2 = to a small extent; 3 = to a moderate extent; 4 = to a great extent; 5 = to a very great extent

accurate and moderately timely. Discussion was stimulated to a great extent by the distribution of a policy review paper.

The high and moderate use of written and verbal communications respectively indicated that the channels of communication were relatively open. The moderate level of active discussion by groups throughout Kelsey was an indication that there was a moderate level of interest in the student counselling issue. This result was also consistent with the views noted earlier that participation by a broad range of Kelsey personnel in the policy decision process occurred to a moderate extent, and that the environment within Kelsey was characterized by moderately well known points of view. Discussion during the policy setting process was stimulated by drafts of the proposed policy which formed the basis for review and comments from a variety of groups and individuals. The results showing _a_ high degree of written communication and a high degree of discussion based on written drafts of the policy suggest that active discussion was primarily the result of circulation of the draft policy and guidelines statement to various groups in the Institute for their comments.

GENERAL DESCRIPTION OF THE POLICY ORGANIZATION

In this final section of the chapter, the features of the policy organization that were common to both of the policies studied at Kelsey are described and a general picture of the policy organization is developed. First, the general characteristics for each organizational design element are reviewed to highlight the aspects which were common to both policies. Then a general description of the policy organization is presented.

Comparison of Organizational Design Elements for Kelsey

Structure. A review of Tables 26 and 35 reveals that the formal structures for setting the two policies studied at Kelsey Institute were greatly different. The competency based learning policy was a provincial policy that was developed principally by personnel within the Department of Advanced Education and Manpower, but involving some consultation with senior administrators in the technical institutes, including Kelsey. The formal structure for this policy, then, was centered in the Department of Advanced Education and Manpower and the Principals' Committee, with almost no extent of involvement of institutional structures within Kelsey. The student counselling and discipline policy was an institutional policy that was developed to address Kelsey Institute priorities. The structures used in support of the policy setting process were centred in the Institute and did not involve the Department of Advanced Education and Manpower. These marked differences in the element of formal structure presented a picture of two different policy organizations; one organization existed for the development of Departmental policies that applied to all technical institutes, and a second policy organization existed for the development of institutional policies for Kelsey Institute.

In both cases of policy setting, the formal structures which were identified were characterized as being relatively unstable. For the CBL policy, most of the individual components of the structure of the policy organization were themselves stable units of the Department of Advanced Education and Manpower; however, there were no explicit guidelines related to policy setting as an organizational process that provided long term stability to the relationships among these units. For the student counselling and discipline policy, the two principal structural elements were an advisory council and an ad hoc sub-committee of that council. The formal structure of the policy organization in this case was temporary and was characterized by relatively weak lines of authority.

Because the formal structures were different for the two policies studied at Kelsey Institute, it was not possible to construct a general sequence of steps that would describe the common features of the structural element of the policy organizations. However, there were two general features of the element of formal structure that may be stated as follows:

1. The formal structures were made up of groups and individuals that were components of the administrative structure governing technical institute operation.
2. There were no stable, formal linkages related specifically to the process of policy setting among the components of

the formal structures.

The existence of two different organizational structures for policy setting -- one at the Department of Advanced Education and Manpower level, and one at the institutional level -- means that the comparative analysis for the remaining seven organizational design elements is an identification of features which are similar for the two policy organizations rather than truly common between them.

Goals. A comparison of the results from Tables 27 and 36 is presented in Table 43. For the purposes of this and subsequent comparison tables in this chapter, the competency based learning policy is referred to as Policy 3, and the student counselling and discipline policy is referred to as Policy 4.

In both cases of policy setting, there were two statements that were viewed to be the goals of the policies to at least a moderate extent; these were:

1. Set a direction that is perceived to be of strategic importance to the institution.
2. Facilitate the achievement of specific institutional long term goals.

At the level of determining institutional strategy and facilitating the achievement of institutional long term goals, the two policy organizations had similar goals.

Members. A comparison of the results from Tables 28 and 37 is presented in Table 44. Such a direct comparison is difficult because, as shown earlier in Table 29, the means

Table 43

A Comparison of Respondents' Perceptions of the Goals of the Policy

Item	Mean Policy 3	 Policy 4
Indicate the extent to which the following statements describe the goal of the policy.		
1. Set a new direction for Kelsey that is perceived to be of strategic importance to the institution	2.7	3.7
2. Address an issue emerging from the environment outside of Kelsey	3.7	2.0
3. Address an initiative taken by a specific interest group	2.5	2.9
4. Facilitate the achievement of specific institutional long term goals	2.8	4.0
5. Facilitate the achievement of specific institutional short term goals	2.2	2.7
6. Solve a specific organizational problem by establishing new guidelines and procedures	1.8	4.1
7. Formalize institutional commitment to past practices and procedures	2.2	2.6
8. Update an existing policy	1.9	3.1

Table 44

A Comparison of Respondents' Perceptions of the Nature of the Members of the Policy Organization

Item	Mean Policy 3	Mean Policy 4
Indicate the extent to which the following statements are true regarding your role in the policy making process.		
1. I was involved in the policy development process because of:		
a) my knowledge and expertise in the policy subject matter	3.1	3.1
b) my membership in an interest group affected by the policy	2.8	2.7
c) my membership in a group that is part of the formal structure of policy setting at Kelsey	2.6	3.7
2. My role in the policy process was that of:		
a) a person who prepared the initial policy statement	2.2	2.4
b) a person being consulted regarding my concerns and ideas	3.1	3.7
c) a person granting final approval of the policy	2.1	2.4
3. I employed specific actions in an attempt to influence the course of the policy process	2.9	2.3
4. The final policy incorporated my preferences for the wording of the of the policy statement	2.7	3.3
5. My involvement was continuous throughout the consideration of the policy	3.1	3.6
6. The other primary participants remained the same throughout the policy setting process	2.7	4.3

for the aggregate sample for the CBL policy were the results of relatively high ratings by Saskatchewan Advanced Education and Manpower personnel and relatively low ratings by Kelsey Institute personnel on all but one item. This diversity of views obscures any features of this organizational design element that might be common.

Environment. A comparison of the results from Tables 30 and 38 is presented in Table 45. This comparison indicates very little agreement in the characteristics of the environmental conditions associated with the two policies studied at Kelsey. The only similar feature was that both policies had a moderate extent of connection to other issues and policies within the Institute.

Resources. A comparison of the results from Tables 31 and 39 is presented in Table 46. In both cases of policy setting all but two resources were used to at least a moderate extent. Only legal information and other organizational resources were used to noticeably different extents in the setting of the two policies. No resources were identified as being used to a great extent in the setting of both policies.

Tasks. A comparison of results from Tables 32 and 44 is presented in Table 47. Here again, there were few items for which there was similarity between the two policies. For both policies, developing alternative policy positions occurred to a moderate extent. There was also a common view that, to only a small extent, the tasks of policy setting for

Table 45

A Comparison of Respondents' Perceptions of the Nature of the Environment of the Policy Organization

Item	Mean Policy 3	 Policy 4
Indicate the extent to which the following statements are true of the conditions associated with the development of the policy.		
1. There were few, if any, forces acting on Kelsey to initiate consideration of the policy	2.1	3.5
2. The direction of the policy setting process was determined primarily by people within Kelsey	1.6	4.7
3. The environment outside of Kelsey was characterized by known points of view	3.7	2.3
4. The environment outside of Kelsey was characterized by uniform points of view	2.9	1.8
5. The environment inside of Kelsey was characterized by known points of view	2.2	3.1
6. The environment inside of Kelsey was characterized by uniform points of view	1.8	3.0
7. The policy had connections with many other issues and policies within Kelsey	2.9	2.9

Table 46

A Comparison of Respondents' Perceptions of the Resources of the Policy Organization

Item	Mean Policy 3	 Policy 4
Indicate the extent to which the following statements are true of the resources used to set the policy.		
1. The resources used to accomplish the process were:		
a) in-depth knowledge related to the policy issue	2.6	3.6
b) personal ability to persuade	3.0	3.0
c) knowledge of the policy setting process	2.7	3.1
d) power derived from position in the organization	3.4	2.7
e) legal information	1.3	2.9
f) information gathered through research	3.3	2.6
g) other organizational resources	3.3	2.0
2. Resources to accomplish the setting of the policy were explictly allocated to participants in the policy process	2.0	2.7

Table 47

A Comparison of Respondents' Perceptions of the Nature of the Tasks Performed in the Policy Organization

Item	Mean Policy 3	Policy 4
Indicate the extent to which the following statements are true of the tasks of setting the policy.		
1. The tasks were clearly identified	2.7	3.7
2. Those responsible for the various tasks were well acquainted with the policy process	2.4	3.1
3. The specific tasks were:		
a) identifying the problem	3.3	4.0
b) developing alternative policy positions	2.8	3.0
c) debating the relative merit of the policy alternatives	3.0	3.9
d) deciding on the most appropriate policy statement	2.9	4.3
e) accepting a policy that was determined outside of Kelsey	3.9	1.3
4. The tasks occurred as a routine sequence of events	2.5	3.7
5. The tasks were the same as for other policies	2.4	2.0

these two policies were the same as for other policies.

Decision making. A comparison of results from Tables 33 and 41 is presented in Table 48. This comparison indicates that four features of the policy decision making process were similar for both policies:

1. Pre-set procedures were used to a small extent.
2. Negotiation and bargaining among various groups occurred to a moderate extent.
3. Chance interaction between various people and various issues was not a significant aspect of policy decision making.
4. Reference to the facts which were known about the policy issue occurred to a relatively moderate extent.

Despite these points of similarity, the lack of a common view on features such as the degree of control by a small number of people, the extent of openness of the decision making process, and the level of final approval of the policy statement indicates that two essentially different decision processes were utilized for these two cases of policy setting.

Communications. A comparison of the results from Tables 34 and 42 is presented in Table 49. In both cases of policy setting, written communications were used to a great extent, and verbal communications were used to a moderate extent. Also, moderately active discussion by groups throughout Kelsey Institute occurred for both policies. Finally, there was agreement that, to at least a moderate extent, the

Table 48

A Comparison of Respondents' Perceptions of the Nature of the Policy Decision Making Process

Item	Mean Policy 3	Policy 4
Indicate the extent to which the following statements are true of the decision process.		
1. The policy decision was made by:		
a) applying pre-set procedures	2.1	2.0
b) negotiation and bargaining among various groups	3.1	2.7
c) reference to the facts which were known	3.4	3.7
d) a small number of people who controlled the process	4.2	2.9
e) chance interaction between various people and various issues	2.0	1.1
2. Policy decision making was an open process that allowed for participation by a broad range of people	2.2	3.4
3. The policy statement was granted final approval by:		
a) an institute committee	2.3	3.0
b) the Principal	2.9	4.3
c) the Principals' Committee	2.8	3.6
d) the Department of Advanced Education & Manpower	4.4	2.0

Table 49

A Comparison of Respondents' Perceptions of the Nature of the Communications in the Policy Organization

Item	Mean Policy 3	 Policy 4
Indicate the extent to which the following statements are true of the communications in the policy setting process.		
1. Information was shared through written communications	3.7	4.3
2. Information was shared through verbal communications	3.3	3.4
3. Information was actively discussed by groups throughout Kelsey	2.9	3.1
4. Information was provided by:		
a) the Principal	3.7	2.0
b) an Assistant Principal	3.0	2.3
c) the Principals' Committee	2.6	
Kelsey Management Council		3.0
d) the Department of Advanced Education & Manpower	4.3	1.3
5. The information that was communicated was timely	3.0	3.5
6. The information that was communicated was accurate	3.3	4.2
7. Discussion was stimulated by the distribution of a policy review paper	2.9	4.2

information communicated was timely and accurate, and discussion was stimulated by the distribution of a policy review paper. The primary sources of information were different for each policy.

These common features describe relatively open systems of communications that were effective in providing accurate and timely information.

Summary features of the policy organizations. From the element-by-element comparisons described above, it was evident that there were different policy organizations for each of the two policies studied at Kelsey Institute. These two policy organizations were characterized by some features which were similar, and by many features which were not similar.

The following statements summarize the features of the policy organization at the Department of Advanced Education and Manpower level, based on the description provided earlier for the competency based learning policy:

1. The formal structure was relatively unstable with an evident lack of any explicit metapolicies or guidelines governing the policy setting process.
2. The principal goal was to address an issue emerging from Kelsey's external environment.
3. Membership was determined by different factors for Department personnel and Kelsey Institute personnel.
4. External environmental forces were relatively well understood but views within the organizational environment

of Kelsey were not well known. The policy process itself was controlled primarily by those within Saskatchewan Advanced Education and Manpower.

5. A wide range of resources related to both the policy content and the policy process were used to a moderate extent.
6. The tasks of the policy process were moderately well identified, but not well understood. The tasks were not similar for each case of policy setting.
7. Policy decision making was controlled by a small number of people and provided for a small degree of participation by those within Kelsey.
8. Communications were highly accurate and relatively open, stimulating a moderate degree of active discussion.

The overall picture that emerged from these summary statements was one of an organization that functioned well in some respects but poorly in other respects. The use of a wide range of resources, the communication of accurate information and the moderately clear identification of policy setting tasks were positive characteristics of the policy organization. However, the lack of explicit metapolicies and the relatively closed nature of policy decision making were features that would limit the long term effectiveness of the policy organization from Kelsey Institute's point of view.

Another set of summary statements that described the features of the policy organization at the institutional level were possible to enumerate as follows, based on the description provided earlier for the student counselling and discipline policy:

1. The formal structure was relatively temporary and was characterized by weak lines of authority.
2. The principal goals of the policy simultaneously addressed both the legislative and operational levels of institutional policy setting.
3. Membership was determined to a great extent by membership in the formal structure.
4. The policy process was controlled primarily by people within Kelsey. The internal organizational environment was moderately well known; however, the external environment was not well known.
5. A wide range of resources related to both the policy content and the policy process were used to at least a moderate extent.
6. The tasks of policy setting were well identified and moderately well understood.
7. Policy decision making was controlled to a moderate degree by a small number of people, but it also allowed for a moderate degree of participation by a broad range of people within Kelsey.
8. Communications were highly accurate and relatively open, stimulating a moderate degree of active discussion.

The overall image that developed from these summary comments was one of an organization that functioned well in most respects, despite the relatively temporary nature of the formal structure. The ability to address goals at a number of levels, the use of a wide range of resources, the clear identification of policy setting tasks, and the balance between moderate control by policy decision makers and moderate participation by institutional constituents were features that would contribute to effective policy setting at the institutional level.

These summary features for the policy setting organizations that affected Kelsey Institute are contrasted with the features of the policy organization at NAIT in the next chapter.

CHAPTER 6

COMPARATIVE ANALYSIS OF THE RELATIONSHIP BETWEEN GOVERNANCE STRUCTURE AND POLICY SETTING

INTRODUCTION

This chapter begins with a comparative summary of the eight organizational design elements of the policy organizations as found under two different academic governance structures. The next section presents the data related to the general issues which were explored during the interviews as features of the academic governance arrangements of the two technical institutes studied. The issues which were examined are dealt with in three categories: (1) the nature of institutional autonomy, (2) the nature and extent of participation in institutional governance, and (3) the nature of the organizational climate. For each of these topics, some background information is reviewed briefly, the results for NAIT and Kelsey are presented, and a comparison of the NAIT and Kelsey results is discussed in the context of the relationships between governance structure and policy setting. The final section of this chapter provides a generalizing analysis which merges the three general characteristics of institutional governance with the eight organizational design elements of the policy organizations for each form of academic governance.

COMPARATIVE SUMMARY OF ORGANIZATIONAL DESIGN ELEMENTS

The features of the policy organizations described in Chapters 4 & 5 are summarized in a comparative manner in Table 50. From this comparative summary and the detailed discussion in Chapters 4 & 5, it was evident that the element of structure was closely linked to the overall academic governance structure of the institution, and had a pervasive influence on many of the other organizational design elements used to describe the policy organization. For example, in the case of board governance, the Technical Institutes Act (1981:3) in Alberta established a Board of Governors for each technical institute, and specified that the board "shall determine the general policies with respect to the organization, administration and operation of the technical institute . . . ." The local aspect of institutional governance, which was provided through the institutional board structure, was associated with the development of stable internal structures for institutional decision making, including policy decision making.

The formal structure of the policy organization at NAIT was found to involve a number of groups, such as the Board of Governors, standing committees of the Board, Executive Committee, and Senior Officials, which were all part of the general administrative structure for NAIT. This relatively stable structure for policy setting had the following effects on the other elements of the policy organization:

Table 50

A Comparison of Organizational Design Elements for Different Academic Governance Structures

	Governance Structure	
Element	Board Governance	Provincial Administration
Structure	At the institutional level, the formal structure was made up of a relatively stable core and a variable periphery; a number of explicit metapolicies were evident	At the provincial level, the formal structure was relatively unstable, with no explicit metapolicies evident At the institutional level, the formal structure was relatively temporary, with weak lines of authority
Goals	Policies were developed in support of long term institutional goals and setting new directions	Policies were developed in support of government goals or in response to specific organizational problems
Members	Membership was determined by the formal structure, which included the Board and standing Committees of the Board	At the provincial level, membership was determined less by the formal structure than by other factors, such as expertise in the policy subject matter or membership in an interest group At the institutional level, membership was determined by the formal structure At both levels, there were many advisory groups but, in the end, a single actor may approve the policy without effective checks and balances

Table 50 (continued)

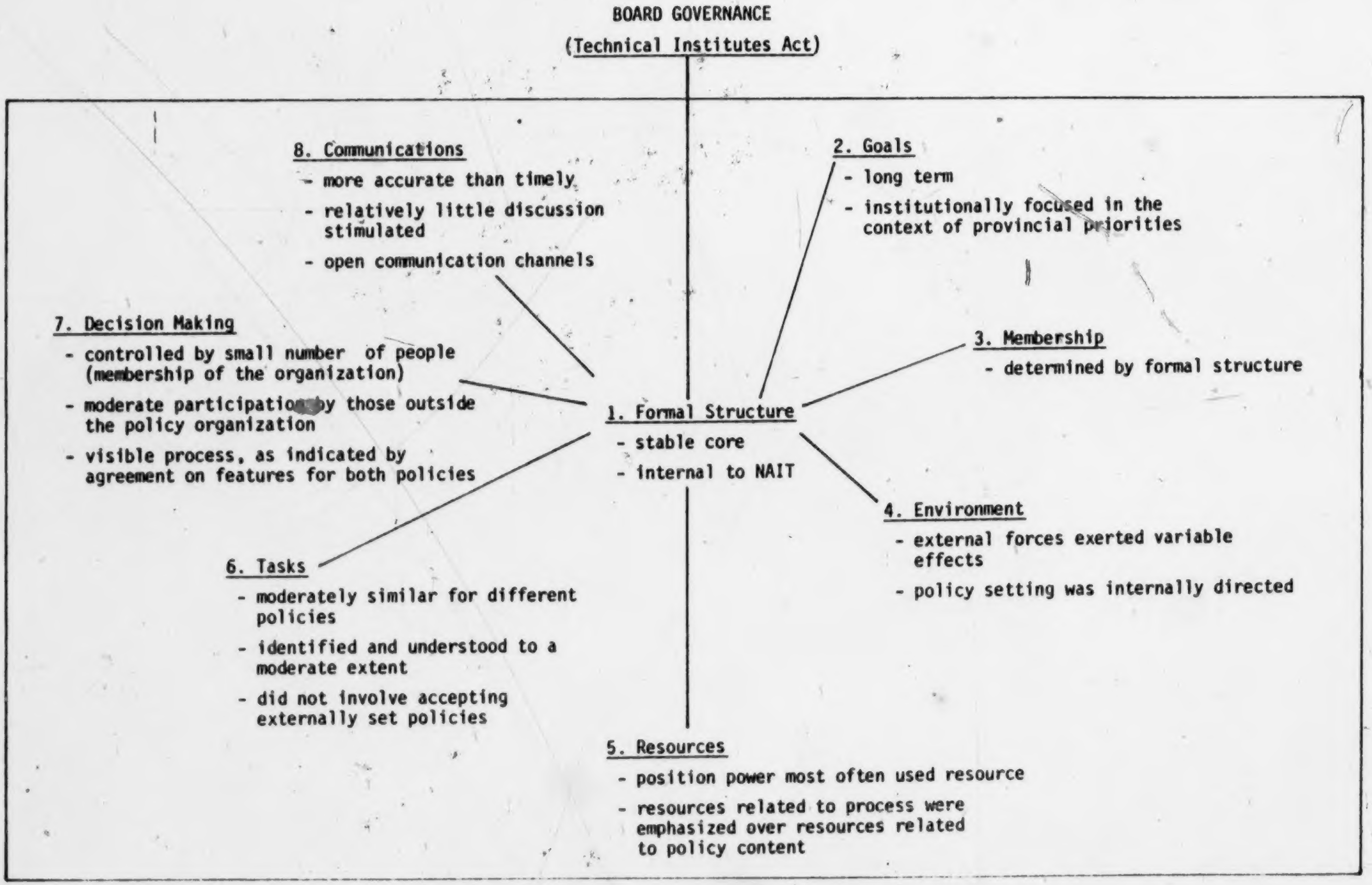
A Comparison of Organizational Design Elements for Different Academic Governance Structures

	Governance Structure	
Element	Board Governance	Provincial Administration
Environment	External forces exerted a variable effect on the initiation of policy setting The policy process was controlled primarily by those within NAIT	At the provincial level, the Department of Advanced Education & Manpower exercised control over institutional policy setting At the institutional level, policy setting was directed primarily by those within Kelsey
Resources	Position power was used to a great extent by those within the institution	Position power was used to a greater extent at the provincial level than at the institutional level
Tasks	The tasks were well identified and understood, and were similar for different policies	The tasks were well identified, but less well understood, and were dissimilar for different policies
Decision making	The decision process was controlled by a small number of people but provided for moderate participation by others	At the provincial level, the decision process was controlled by a small number of people and provided for relatively little participation by others at the institutional level At the institutional level, the decision process was controlled by a small number of people, with moderate participation by others
Communications	The principal source of information was a Vice-President	There was no single primary source of information

(1) policies were developed in support of long term institutional goals, (2) membership was determined by the formal structure, (3) policy setting was directed primarily by people within NAIT, (4) resources for carrying out policy setting activities were implicitly allocated through the formal stucture, (5) the tasks were similar for different policies, (6) policy decision making was a highly visible process, and (7) communications were relatively open, with a Vice-President being the principal source of information on policy issues. A schematic representation of these relationships is shown in Figure 3.

In Saskatchewan, The Department of Advanced Education and Manpower Act (1983:3) established centralized provincial administration for all technical institutes by specifying that "the minister may . . . establish, supervise and administer institutes . . . to provide courses of study or instruction to prepare residents of Saskatchewan for various trades or occupations." This centralized aspect of institutional governance meant that institutional decision making was closely linked to structures in the Department of Advanced Education and Manpower.

These structures, however, were relatively unstable for a number of reasons. First, since 1982 when the new Conservative government came into power, there had been several different Deputy Ministers of the Department of Advanced Education and Manpower. Also, in 1983, a new act governing higher education changed the name of the Department


BOARD GOVERNANCE
(Technical Institutes Act)
8. Communications
- more accurate than timely
- relatively little discussion stimulated
- open communication channels
2. Goals
- long term
- institutionally focused in the context of provincial priorities
7. Decision Making
- controlled by small number of people (membership of the organization)
- moderate participation by those outside the policy organization
- visible process, as indicated by agreement on features for both policies
3. Membership
- determined by formal structure
1. Formal Structure
- stable core
- internal to NAIT
4. Environment
- external forces exerted variable effects
- policy setting was internally directed
6. Tasks
- moderately similar for different policies
- identified and understood to a moderate extent
- did not involve accepting externally set policies
5. Resources
- position power most often used resource
- resources related to process were emphasized over resources related to policy content

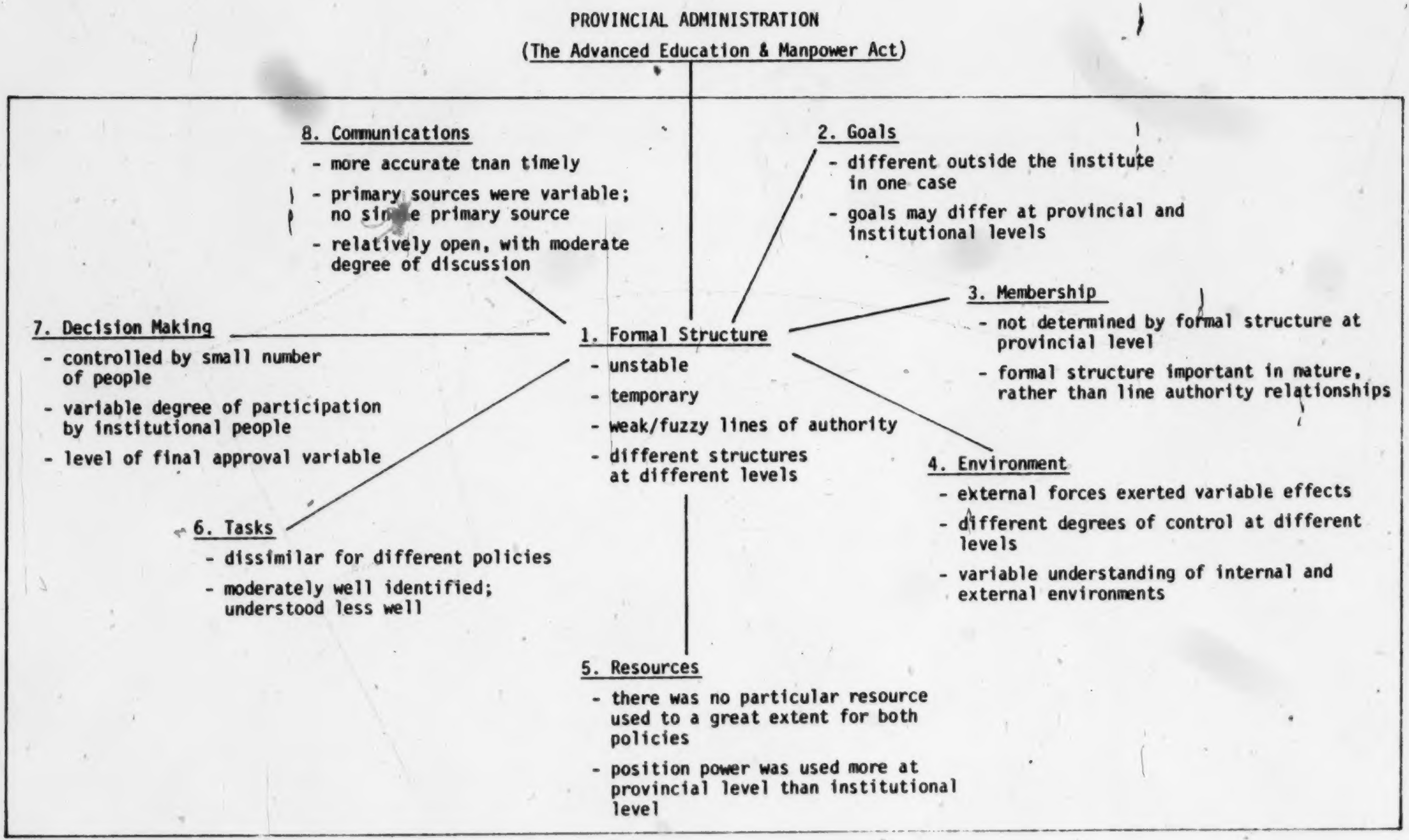
RELATIONSHIPS AMONG THE ELEMENTS OF THE POLICY ORGANIZATION

(NAIT)

Figure 3

from that of Continuing Education to Advanced Education and Manpower. This change brought with it some reorganization of the Department. For example, a new Institute Operations Branch was created to facilitate liaison between the technical institutes and the various departments of government with which they had to work. Finally, as mentioned earlier in Chapter 5, there were few explicit policies or guidelines relating to various aspects of Departmental decision making, particularly policy decision making. Interviews with members of the Department indicated that policy setting activity within Advanced Education and Manpower was viewed to be infrequent, reactive, and focused on the short term.

The relative instability of the formal structure of the policy organization influenced other elements in the following ways: (1) policies were more likely to be developed in support of short term government goals rather than long term institutional goals, (2) there was no clearly defined membership in the policy organization, (3) people outside of Kelsey controlled the direction of policy setting, (4) resources for policy setting activities were allocated in an ad hoc manner, (5) the tasks varied from one policy setting exercise to another, (6) decision making involved more negotiation and bargaining than application of pre-set procedures, and (7) there was no single primary source of information during policy setting activities. A schematic representation of these relationships is shown in Figure 4.



PROVINCIAL ADMINISTRATION

(The Advanced Education & Manpower Act)

1. Formal Structure
- unstable
- temporary
- weak/fuzzy lines of authority
- different structures at different levels

2. Goals
- different outside the institute in one case
- goals may differ at provincial and institutional levels

3. Membership
- not determined by formal structure at provincial level
- formal structure important in nature, rather than line authority relationships

4. Environment
- external forces exerted variable effects
- different degrees of control at different levels
- variable understanding of internal and external environments

5. Resources
- there was no particular resource used to a great extent for both policies
- position power was used more at provincial level than institutional level

6. Tasks
- dissimilar for different policies
- moderately well identified; understood less well

7. Decision Making
- controlled by small number of people
- variable degree of participation by institutional people
- level of final approval variable

8. Communications
- more accurate than timely
- primary sources were variable; no single primary source
- relatively open, with moderate degree of discussion

RELATIONSHIPS AMONG THE ELEMENTS OF THE POLICY ORGANIZATION

(Kelsey Institute)

Figure 4

The relationships among the institutional governance structure, the formal structure of the policy organization, and the other elements of the policy organization can be further illustrated using the organizational design element of environment as an example. Under board governance (the institutional structure), institutional boards with lay public representation were established (part of the formal structure of the policy organization), resulting in the external environment (an organizational design element) becoming embedded within the organization. Thus, the public point of view became part of the internal organizational environment of a board governed institution. Meyer & Rowan (1977:362) have commented that "organizations that incorporate institutionalized myths are more legitimate, successful, and likely to survive." In contrast, under provincial administration, the line reporting relationship between the institution and the Department of Advanced Education and Manpower not only sealed off direct public input to institutional policies but also had the effect of making the central administering agency, the Department, seem like part of the external environment. This was particularly true for Kelsey Institute, which was located in a different city than the Department of Advanced Education and Manpower.

Under board governance, then, there was continuous interaction with external viewpoints, through the Board and Board committees, as part of internal decision making. With provincial administration, however, there was continuous interaction with Departmental viewpoints which often seemed like part of the external environment rather than part of the internal organizational environment. Thus, the nature of the academic governance structure had an important effect on the formal stucture of the policy organization and, through it, on the element of environment.

In summary, the following relationships were evident on the basis of this discussion:

1. The element of formal structure of the policy organization was influenced directly by the academic governance structure of the institution.
2. The nature of the seven other organizational design elements of the policy organizations studied here were strongly influenced by the element of formal structure.

Baldridge and Deal (1975:12) have noted that "structure is the prime administrative handle that provides leverage both for producing and adjusting to educational innovation."

In the next section of this chapter, the relationships between governance structure and three general characteristics -- institutional autonomy, participation in institutional governance, and organizational climate -- are examined on the basis of the data collected through interviews.

THE NATURE OF INSTITUTIONAL AUTONOMY

Background

Institutional autonomy is related to the ability of an institution to make decisions independently, without external constraint, in areas which are important to its operation, such as academic and faculty affairs, student affairs, business affairs, and external affairs. As noted in the Introduction in Chapter 1, there is a basic tension between institutional desires to act autonomously in order to maintain or improve operational effectiveness, and public control to ensure that the public interest is integrated into the design and delivery of postsecondary education. Millett (1984:215) has commented that "the reconciliation of institutional aspirations and public financing has been the measure of the conflict between claims to institutional autonomy on the one hand and insistence on public accountability on the other." With respect to academic governance in the domain of postsecondary education, then, the problem is to choose a structure that provides an appropriate balance between institutional independence and public regulation.

NAIT Findings

The results presented in this section were based primarily on interview data gathered in response to the following questions:

1. To what extent does the existence of the Board facilitate

institutional independence?

2. To what extent has the Board acted as a buffering mechanism —
   a) to buffer NAIT from external forces and interest groups?
   b) to buffer the provincial government from operational issues within NAIT?

Documentary information was utilized to provide further background on these questions, where appropriate. In answer to these questions, a number of different themes were stated by those interviewed. In many cases, these statements were comparative, commenting on present conditions at NAIT relative to those that existed under direct provincial administration prior to April 1, 1982.

In response to question one, almost all interviewees felt that the board governed structure had facilitated institutional independence to a great extent. In support of this perception, two dominant themes were expressed. These were that the Institute was now "in control of its own destiny," and that NAIT had experienced improved operational efficiency and effectiveness in a wide variety of functional areas, but particularly with respect to budgeting, financial operations, purchasing, and employee relations with academic staff.

A second group of characteristics which were mentioned less frequently, but were nevertheless cited as evidence of institutional autonomy included the following:

(1) NAIT could respond more quickly to problems and opportunities in its environment, (2) NAIT was run "more like a business," (3) NAIT had more flexibility in managing its resources, (4) decision making had become more decentralized, and (5) more flexible program design was possible. Finally, there were a number of observations that were mentioned by individual interviewees; these were: NAIT was able to be more proactive through institutional long range planning that involved the Board, NAIT was now "in the lineup to discuss things with the Minister," and there was a closer association between NAIT and other board governed institutions.

Despite the evidence of relatively great institutional autonomy noted above, some study participants quickly pointed out that NAIT was still financially dependent on the Government of Alberta. Also, greater independence was viewed to have some costs associated with it. The Institute was now directly responsible for managing the full range of its operational requirements; this had resulted in a greater amount of administrative activity, including the creation of new committees to ensure that appropriate consultation and coordination occurred among internal stakeholder groups.

The effect of the board structure, then, was to facilitate autonomy to a relatively great extent, primarily through the mechanism of establishing operational control within NAIT for the full range of institutional functions. This had the effect of creating a generalized view on the part of NAIT constituents that control of the Institute's future lay within NAIT, although some costs in terms of greater internal administrative overhead were incurred. The net effect of the board structure, however, was judged by the study participants at NAIT to be very positive in terms of increasing NAIT's institutional effectiveness through the internal control and flexible use of financial, human, and physical resources.

In response to question two, the degree to which the Board acted as a buffering mechanism was less clear. The predominant view was that this aspect of NAIT's governance arrangement was untested so far. However, the Board was seen to have been an effective advocate on NAIT's behalf in interactions with external organizations, particularly with respect to purchase and leasing of property and buildings.

Another view expressed by some interviewees was that the board structure had worked well as a buffering mechanism; examples cited in support of this view were again related to negotiations between NAIT and other organizations regarding the lease or purchase of property.

Other observations included the following: (1) the existence of a board structure allowed greater institutional risk taking, (2) the Board acted to preserve NAIT's autonomy, and (3) NAIT's influence on the government was more direct with the board structure than with provincial administration. Finally, some study participants stated that, although the potential for buffering existed with the board structure, NAIT still operated within the framework of priorities and legislation set by the government; in addition, new program development funds were controlled by Alberta Advanced Education.

In summary, there were divergent views regarding the extent to which the NAIT Board of Governors had acted as a buffer, either to buffer NAIT from external forces, or to buffer the provincial government from operational issues at NAIT. The most commonly held view was that the buffering capacity of the Board was largely untested three years after the Board's establishment. However, another view was that the institution had benefited from the advocacy role of the Board on NAIT's behalf in dealing with external groups and organizations. This latter opinion was consistent with the results for question one which indicated net benefits for NAIT as a result of the Board's facilitation of institutional autonomy.

Kelsey Findings

The results presented in this section were based primarily on interview data gathered in response to the following questions:

1. What is the nature of institutional independence?
2. What is the nature of the administrative relationship between the Department of Advanced Education & Manpower and Kelsey Institute?
3. What is the nature of provincial program planning and coordination?

Documentary information was utilized to provide further background on these questions, where appropriate.

In answer to question one, the predominant response was to indicate that Kelsey Institute operated within a highly centralized system in which many aspects of the Institute's operation were controlled by various government departments. Areas of centralized control which were cited were, in order of frequency, finance and budgeting, personnel, facilities and renovations, program priorities, purchasing, and transportation. The degree of institutional independence was viewed to be very limited, as a result of the centralized control of key decision areas. The interviewees cited a number of consequences of this low degree of autonomy, such as the following: (1) Kelsey Institute could not determine its own future direction, (2) there were "too many hurdles" in the way of reaching operational goals efficiently, (3) quick response on the part of the technical institutes was not permitted, (4) there was a lack of flexibility with respect to the use of financial resources, and (5) requests from the Department often dominated the agenda for Kelsey senior administrators.

Further to these points, a number of behavioral consequences were described. Some respondents expressed the view that Kelsey personnel were "conditioned not to act" by the foreknowledge of cumbersome government department requirements and, as a result, Institute personnel did not exercise the full potential of their freedom to act. Indeed, it was relatively easy to blame the Department for inaction when some degree of control existed within Kelsey. Another view was that, with the actual decision making occurring outside of Kelsey, the levels of authority were fuzzy and it was hard to judge just what degree of institutional autonomy existed. Related to this, one study participant commented that "Principals have less autonomy than their positions warrant." This was explained to mean that the administrative head of an educational institution should have greater control over the operations than did the Principals of the technical institutes.

In addition to the areas of limited freedom to act independently enumerated above, some areas of relatively great independence were identified. The areas of high autonomy were related primarily to academic affairs within Kelsey. The study participants at the Chairperson and Program Head levels at Kelsey all felt that they were relatively free to manage their academic programs as they saw fit, particularly with respect to questions of program content, curriculum development, program delivery, expenditure of non-manpower funds, and general student affairs. New program initiatives, however, were subject to review and approval not just within Advanced Education and Manpower, but also within Treasury.

The effect of the structure of direct provincial administration was to centralize decision making with respect to many operational issues in various departments of the Government of Saskatchewan, beyond the immediate administrative control of Kelsey Institute personnel. This had the effect of creating a generalized view on the part of Kelsey constituents that control of the Institute's short and long term future lay outside of Kelsey. On a day-to-day operational basis, autonomy with respect to program maintenance and delivery was viewed to be relatively high, but autonomy with respect to general Institute administration was viewed to be low. Without the local freedom to act on problems and opportunities, Kelsey personnel experienced feelings of ambivalence about the Institute's effectiveness; it was felt that, although Institute programming was relatively well developed and well accepted, short and long term effectiveness could be improved through greater local control, especially regarding decisions on resource use.

In response to question two, the administrative relationship between the Department of Advanced Education and Manpower and Kelsey Institute was viewed to be the same as any other line reporting relationship within the Government of Saskatchewan. The Department of Advanced Education and Manpower had daily involvement with respect to institutional problem solving through the Institute Operations Branch, whose purpose was to provide support and to improve the liaison between all technical institutes and the appropriate government departments. Such a relationship provided no buffering between Kelsey Institute and the Department. From the Department's point of view this type of relationship provided a desirable degree of direct control over the nature of programming offered in the technical institutes that was not possible for the universities which had their own institutional boards. From Kelsey's point of view, the Department had grown and changed so greatly over the past three years that there was a sense that central office personnel were not attuned to the operational requirements of the Institute; it was felt that this situation led to slow Departmental response to many issues and to overall operating inefficiencies.

In answer to question three, it was clear that program planning and coordination was viewed as a centralized, provincial activity, despite the absence of any explicit policy statements on program approval or program coordination. Provincially, program development was taking the form of growth in selected program areas; for example, while funding for some programs at Kelsey was declining in a real sense, a new Advanced Technology Training Centre was established to deliver short courses to industry on new developments in high technology.

Three departmental program development initiatives were identified by the interviewees as being actively pursued:

1. The gradual establishment of most, if not all, technical/vocational programs on a competency based, individualized learning format was seen as a way of setting provincial standards for program quality control.
2. A working committee to consider the potential rationalization of program offerings among the technical

institutes was commencing a review of the business and health program areas.

3. Reclustering of programs to take advantage of common elements among similar program areas was actively being planned between Department and technical institute personnel. Such "coring" was aimed at achieving efficiencies of program delivery.

Despite a clear understanding that these initiatives were being worked on, there was a feeling at the institutional level that these program development and coordination activities were proceeding in an inconsistent manner because of the absence of any clearly stated policies. Program coordination was variously described as "ad hoc," "cumbersome," and "haphazard."

To summarize the responses to questions two and three together, the Department of Advanced Education and Manpower had direct line control over operational and program planning decisions for the technical institutes. However, the ability to effectively utilize this control and to implement Departmental initiatives was reduced by the absence of explicit policies, particularly in the area of program coordination.

Comparison of NAIT and Kelsey Findings

A comparison of the results presented above is summarized in Table 51.

Table 51

A Comparison of Findings with respect to Institutional Autonomy

Issue	Governance Structure Board Governance	 Provincial Administration
Nature of Institutional Independence	There was a high degree of institutional control over all functional areas	Control over almost all functional areas except for maintenance of academic programs, was centralized in provincial government departments
	Control of the Institute's future was perceived to reside within NAIT	Control of the Institute's future was perceived to reside outside of Kelsey; levels of authority and accountability were not clear
	There was a high degree of flexibility with respect to the use of resources	There was a low degree of flexibility with respect to the use of resources
Buffering/ Administrative Relationships	The Board's role as a buffer was not yet tested, although the Board was viewed to be an effective advocate for NAIT	Direct line reporting relationship afforded Departmental control over institutional operations
	Some administrative relationships were still being formed	
Program Planning & Coordination	Coordination was the responsibility of the Department of Advanced Education through the Program Coordination Policy and other mechanisms of influence	This was the responsibility of the Department of Advanced Education & Manpower, but no explicit policy on program coordination existed

For NAIT, the dominant finding related to the issue of institutional autonomy was that control over the full range of Institute operations lay within NAIT. This feature of board governance created a sense of self-determination over present and future Institute affairs among the study participants. This sense of self-determination was reinforced by the advocacy role played by the NAIT Board of Governors in the institution's dealings with external groups and organizations.

In contrast, the principal finding with respect to institutional autonomy at Kelsey Institute was that control over almost all functional areas was centralized in provincial government departments. This characteristic of provincial administration created a sense that control of the Institute's future resided to a great extent outside of Kelsey. The fact that several government departments were involved in various aspects of resource management for the Institute led to some lack of clarity regarding the levels of authority and contributed to a high degree of inflexibility regarding the use of resources.

These findings represent two different approaches to achieving the desired balance between institutional independence and public control in postsecondary education. Under board governance, the establishment of a local governing authority facilitated local control over operational and planning issues. Public control was exercised through government regulation and approval of funding levels, as well as provincial policies which enabled the Department of Advanced Education to coordinate various aspects of postsecondary education. Thus, institutional governance was set at the local level, while system coordination was fixed at the provincial level. The structure of board governance as implemented in Alberta, then, attempted to reconcile public expectations with the aspirations of individual institutions by allocating some degree of control to both the institutional and provincial levels of authority.

An effective balance between institutional governance and provincial coordination depended very much on the development of appropriate policies defining the role of Alberta Advanced Education (AAE) in areas such as program planning. The Program Coordination Policy was developed in order to establish mechanisms that would allow AAE to fulfil its coordinative role effectively. Other policies have been developed within AAE on Further Education, Community Consortia, and Innovative Projects. Without explicit policies to support the coordinative role of AAE, an exclusive emphasis on local institutional governance would have resulted in a fragmented system of higher education.

Under provincial administration, control over both academic governance and system coordination were centralized; the same body -- Saskatchewan Advanced Education and Manpower (SAEM) -- was responsible for both functions. Public control was exercised through line authority relationships involving the full range of operational, planning, and coordination issues. With such centralized control over both governance and coordination, the need for explicit policies to define the balance between localized and centralized responsibilities was less urgent. However, the absence of such policies has left undefined the government's view of how provincial coordination issues should be managed. As a result, activities related to program coordination among institutions have been viewed as proceeding in an inconsistent manner. The structure of provincial administration as implemented in Saskatchewan has placed a strong emphasis on ensuring that the expectations of society, as represented by provincial government priorities, were achieved. The interests and aspirations of the constituencies within the technical institutes have been correspondingly de-emphasized.

The difference in emphasis on local and central control for the two different governance structures was also evident in the characteristics of the policy organization for each governance arrangement. In the case of board governance, the formal structure of the policy organization at NAIT was made up of institutional groups that were part of the general administrative structure of the Institute. Policy development had the goal of providing explicit support for long term institutional goals, and policy setting was directed by those within NAIT. The relatively high degree of institutional autonomy perceived by those interviewed at NAIT was reflected in the nature of the formal structure, goals, and decision making elements of the policy organization.

In the case of provincial administration, the policy organization at Kelsey was found to have different characteristics for the two different policies studied. Two levels of policy setting were evident: (1) policy setting that occurred primarily within the Department of Advanced Education and Manpower, and (2) policy setting that occurred primarily within Kelsey Institute. The policy organization for the provincial level of policy development did not have a stable formal structure and had the goal of providing explicit support for short and long term government priorities. Policy setting at this level was directed by those within the Department. At the institutional level of policy development, the policy organization had a temporary structure. Policy development had the goals of achieving long term institutional goals and solving specific organizational problems. At this level, policy setting was directed by those within Kelsey. Thus, the high degree of centralized control over institutional operations perceived by the Kelsey and SAEM interviewees was consistent with the characteristics of the policy organization at the provincial level. Also, the view that some degree of institutional autonomy existed in the domains of program maintenance and student affairs was reflected in the characteristics of the policy organization for the institutional policy on student counselling and discipline.

PARTICIPATION IN ACADEMIC GOVERNANCE

Background

The issue of who should participate in the governance of postsecondary education is linked to the larger values and expectations of society. With respect to western Canada, Berghofer and Vladicka (1980:7) note that "the governments of Alberta and the other western provinces assumed major responsibility for developing higher education from the start." Although private colleges dominated the non-university postsecondary educational domain in the early part of this century, publicly funded institutions now provide a far greater volume of educational services than do the wide range of private institutions and private vocational schools in western Canada. Providing for the appropriate degree of public input to higher education has become increasingly important as growth has occurred in the number and size of public institutions and, consequently, in the public costs of postsecondary education.

As something of a public utility, higher education requires a proper balance between the contributions of the lay public and the professional educators to educational policy matters. In his assessment of this issue in the United States, Koerner (1968:165) makes the following comment:

> The layman's best defence, then, against both old and new establishments is a determination not only to assert the principle of lay control of educational policy but to make it a fact. His best insurance

> against the expert is a keen awareness of the limits of educational expertise. His best defence against his own limitations is to make a habit of listening, not only to a variety of professional educators, but to a variety of teachers and other kinds of educational experts

A similar view was stated by Worth (1972:128) in his recommendations for higher education governance in Alberta; he noted that "together public and institutional board members create the checks and balances central to the democratic process."

Created in response to the need to increase the supply of trained manpower in western Canada, the technical institutes initially delivered training linked to government-identified needs, and were, as a result, directly administered by provincial government departments. In contrast, the public colleges in Alberta were established with a mandate to provide postsecondary education and training in response to the broader social and cultural needs of society. Consequently, lay public participation in the governance of the public colleges through boards of governors was more readily adopted as an appropriate model for college governance than for technical institute governance. The manner in which public participation in postsecondary education was facilitated, then, was related to some extent to the nature of the programming being delivered.

Another aspect of participation in academic governance has been the composition of groups which were specifically mandated by legislation to assume certain responsibilities in the governance process. For example, with respect to the important issue of the composition of institutional boards, at least two different viewpoints have been expressed. Worth (1972:128) took the stance that

> Membership on each board of governors should provide for representatives of the public-at-large, the staff and students, and the president of the institution. Participation of all groups affected by the board's decisions is thereby enhanced.

Completing its work at about the same time, the Carnegie Commission on Higher Education (1973:33) stated a different view:

> We oppose faculty members and students of an institution serving on the board of the same institution because of potential conflicts of interest, and also because it is difficult to assure that they are really "representative" of the faculty or the student body -- if "representatives" are what is wanted (which we greatly doubt).

In summary, the issue of the nature and extent of participation in academic governance raises questions for which there are no single best answers. The solutions chosen have been related to the nature of the programming, the judgement of legislators about the appropriate composition of governing bodies, and, most importantly, the value position of policy makers regarding the balance of power between the lay public and the educational experts.

The present study gathered information at two levels on the issue of participation in academic governance. At one level, the nature and extent of participation in the specific process of policy setting were investigated using a survey questionnaire; the findings from this part of the study were presented in Chpaters 4 and 5. At a more general level, the extent of public input to postsecondary technical/vocational education was explored through interviews with the study participants. The data gathered from the interviews are described for NAIT and Kelsey in the next sections, and they represent two different ways of dealing with the issue of participation.

NAIT Findings

The results presented in this section were based primarily on interview data gathered in response to the following questions:

1. To what extent does the existence of the board facilitate public input to postsecondary technical/vocational education?
2. How has the legislated membership of NAIT constituencies (i.e., academic staff, non-academic staff, and students) on the Board of Governors and on Academic Council affected:
   a) policy setting?
   b) decision making in general?

Documentary information was utilized to provide further background on these questions, where appropriate.

In response to question one, several of the interviewees indicated that while the mechanisms for public participation existed, the actual degree of influence was dependent on the following factors: (1) the degree of learning that had taken place on the part of both board members and NAIT administrators regarding the nature of board governance,

(2) the dynamics of the relationship between the Board of Governors and NAIT Executive Officers, and (3) the personalities of the individual board members. One participant commented that "we don't know how far we've come" with respect to realizing the potential for open exchange between public board members and NAIT managers. Another interviewee noted the importance of distinguishing between "public visibility" and actual "public involvement" in the governance process. Thus, there was a sense that the structures existed to facilitate public participation in institutional governance; the degree to which the full potential of these structures had been realized was difficult to judge.

Notwithstanding the views noted above, several study participants stated that the existence of the board had had some definite effects on senior NAIT administrators, and through them, on the manner in which NAIT was managed. The consequences of having a board were seen to be the following: (1) there was a greater sensitivity to public issues, (2) there was a need to anticipate the views and questions of the public board members, (3) the potential for insularity on the part of NAIT was reduced, (4) NAIT was kept more aware and responsive to "real world" needs, (5) the Institute was more serious about tackling long term issues, and (6) NAIT was more responsive to the community it served. It was pointed out by one interviewee that these effects had the greatest impact on NAIT's business affairs, rather than on its educational affairs; that is, the Board of Governors affected how NAIT carried out its business more than what actually occurred at the instructional level. This point was reminiscent of the view noted earlier in the discussion of institutional autonomy that NAIT was run "more like a business" since it had become board governed.

A final point that was made about public input to higher education was that public board members represented a group of people who were in daily contact with a network of professional and social acquaintances in business and industry. The board members thus acted as feeders of information to NAIT on a broad range of social, political, and economic issues.

The effect of the board, then, was to facilitate public input to postsecondary education. Influence by the public board members on institutional governance issues was viewed definitely to be taking place in a number of ways enumerated above. The degree of influence was thought to be dependent on the stage of development of the NAIT/Board relationship.

The responses to question two reflected four general themes. First, in providing for the establishment of a Board of Governors and an Academic Council, the Technical Institutes Act set up structures that were stable over time, irrespective of the desires of individuals in key positions. Having made judgments about the degree of institutional autonomy and the nature of participation in academic governance, provincial legislators specified the structures and their membership required to consistently achieve the desired degree of participation over the long term.

A second theme was the view that the quality of decisions was enhanced by the legislated membership of a broad range of Institute stakeholders on these bodies. Some interviewees thought that decision making was more effective because there was a better understanding of why decisions were made; there were mechanisms that allowed all constituent groups to be heard and to have direct access to decision makers. The opportunity to contribute to decision making resulted in a positive organizational climate; this aspect will be discussed in detail later in this chapter.

Third, there were a number of study participants who expressed concern about the effectiveness of staff and student representation on the Board of Governors. It was felt that there was a conflict of interest for academic and non-academic staff representatives, particularly when the board was considering issues related to contract negotiations. Also, the effectiveness of student representation was variable, depending on the personality of the individual students chosen.

Finally, some interviewees stated that it was difficult to evaluate the effect that broad stakeholder membership on the Board of Governors and Academic Council was having on institutional decision making. They felt that the opportunity for participation and influence was definitely there, but, as for the issue of public participation discussed earlier, there was some uncertainty regarding the degree of actual influence exerted by staff and student representatives.

The net result of board governance was to establish a stable set of structures with specified membership which provided the opportunity for broad stakeholder input to decision making. A potential for conflict of interest on the part of academic and non-academic staff representatives on the Board of Governors existed for some issues.

In summary, on the issue of participation in academic governance, the alternative of board governance provided the structures necessary to facilitate participation and influence by lay public members and other institutional stakeholder groups. The actual degree of influence exerted by the various participants was viewed to be dependent on the characteristics of the individual representatives and on the nature of the NAIT/Board relationship.

Kelsey Findings

The results presented in this section were based primarily on interview data gathered in response to the following question:

1. What mechanisms exist to facilitate public input to post-secondary technical/vocational education?

Documentary information was used to provide further background on this question, where appropriate.

In response to the question noted above, every one of the fourteen interviewees cited Program Advisory Committees as the principal formal mechanism for facilitating public input to technical education. A number of other, less formal possibilities for public input were mentioned by various study participants; these included the following: (1) direct appeal to the Minister, (2) contacts between instructors and industry personnel, (3) contacts between the community and the Kelsey public relations officer, and (4) direct approaches to other elected representatives.

Of the mechanisms enumerated above, only that of Program Advisory Committees was supported by a formal policy. In the policy statement, it was clear that these committees were utilized in an advisory capacity rather than a decision making capacity:

> The primary purpose of program advisory committees is to provide an effective link between the business and industrial community, the technical institutes and the Department of Advanced Education and Manpower by utilizing management, labor/employee and public sector leaders as advisors to the program. In their capacity the members will advise on the program policies, planning, and curriculums to insure delivery of meaningful and current labour market training.

This policy statement also indicated that the advisors were not chosen from the public at large, but were selected from the sectors of business and industry appropriate to the program. Thus, advice was provided with respect to specific program issues, but not with respect to general issues of institutional governance.

The remainder of the mechanisms for lay public participation were not formalized. They were mechanisms that relied on the initiative of individual public representatives rather than on the active inclusion of the public in the structures of postsecondary academic governance. In this context, one interviewee stated the view that "the general public is not a force" in the governance of the technical institutes.

In summary, the only formal structure that provided for public input to postsecondary technical education was that of the Program Advisory Committees. This mechanism was advisory in nature and focused on program level design and delivery issues, rather than on general institutional level governance issues. A number of other informal mechanisms existed; these relied on the initiative of the public to provide input.

Comparison of NAIT and Kelsey Findings

A comparison of the results discussed above is summarized in Table 52.

For NAIT, the dominant finding related to the issue of participation in academic governance was that participation in decision making on the part of both the general public and institutional stakeholder groups was provided for by the establishment of formal structures -- a Board of Governors and an Academic Council -- with prescribed membership under the Technical Institutes Act. This feature of board governance created a sense within NAIT that decision making was highly effective and well understood by the broad range of public and institutional participants.

In contrast, the principal finding with respect to public participation in academic governance at Kelsey

Table 52

A Comparison of Participation in Academic Governance

Issue	Governance Structure Board Governance	 Provincial Administration
Facilitation of Public Input	Public input on institutional governance issues was facilitated through the appointment of lay public members to the Board of Governors	No formal mechanisms existed to facilitate lay public input on institutional governance issues
	Elected officials were buffered by the board	Elected officials had direct influence
	The actual degree of influence was dependent on the nature of the NAIT/Board relationship	
	Program level input from business and industry was facilitated through appointed Program Advisory Committees in both cases	
	Other informal mechanisms relying on the public's initiative existed in both cases	
Stakeholder Membership on Governing Bodies	Broad stakeholder input to decision making was provided for through the establishment of a Board of Governors and an Academic Council	Broad stakeholder input to decision making was not provided for in The Department of Advanced Education & Manpower Act
	Effectiveness of decision making was perceived to be improved as a result of broad stakeholder participation	

Institute was that only a single formal structure that was advisory in nature existed. Further, this structure -- the Program Advisory Committee -- dealt with program level issues rather than institutional level issues, and drew its representation from a specific segment of the public, rather than the public at large. The lack of other formal mechanisms for public input under provincial administration contributed to a sense among several of the study participants that decision making was not optimally responsive to public or institutional needs.

These findings reflect two different value positions regarding the nature and extent of participation in postsecondary academic governance. The Technical Institutes Act in Alberta was the vehicle for the implementation of the belief that issues related to the institutional governance of technical institutes should be determined through dialogue between lay public representives and institutional stakeholders. Although the Act defined the formal extent of participation by specifying the composition of the governing bodies, the findings of this study indicated that the actual extent of participation was dependent on the dynamics of the relationships among the members of the Board of Governors and the Academic Council.

As for the findings on institutional autonomy, the structure of board governance consciously created a situation of shared authority by legislating broad participation in academic governance. This position was consistent with the notion of "checks and balances central to the democratic process" noted by Worth (1972:128). It was also indicative of the belief that the nature of programming in the technical institutes should be responsive to the needs of the general public as well as to the needs of the various levels of government.

Konrad (1977) has commented on the issue of participation in academic governance by internal institutional constituents; in his study of 35 newly appointed community college trustees in Alberta, he found (1977:149) that

> The provision for faculty and student membership on governing boards in Alberta is regarded very favorably by all respondents. If changes are to be considered, it should be in the direction of increasing the number of institutional members.

Under The Department of Advanced Education and Manpower Act in Saskatchewan, the structure of provincial administration reflected the belief that lay public participation in the governance of technical/vocational education was not desirable enough to warrant the sharing of authority on issues of institutional governance. The technical institutes were viewed by senior government officials primarily as vehicles for the training of skilled manpower in support of provincial economic development priorities. The use of the Program Advisory Committee mechanism was consistent with this view in providing for selective participation by representatives of business and industry as advisors on issues of program development.

Provincial administration, then, represented a value position that postsecondary technical education should be very responsive to the training needs identified by elected representatives, with operational support from the educational establishment. The technical institutes were not viewed to be the appropriate vehicle for responding to the broader educational needs of society, facilitated by legislated participation of lay public members at the level of institutional governance; this aspect of postsecondary education was addressed in Saskatchewan through *The Community Colleges Act* (1983) which established regional community colleges with public boards "for the purpose of providing adult education programs and services."

The difference in emphasis on lay public participation by the two different governance structures was also evident in the characteristics of the policy organizations described earlier in this study and summarized at the beginning of this chapter. In the case of board governance, the formal structure of the policy organization at NAIT included the Board of Governors and standing committees of the board. Policy decision making included review and final approval at one of these two levels, depending on the degree to which the policy represented a significant change from existing Institute practices. Membership on the Board of Governors was defined by the *Technical Institutes Act*, which specified representation for both the lay public and institutional stakeholder groups. Although the external environment exerted a variable effect on the initiation of policy setting, the policy process was directed primarily by those within NAIT; that is, policy setting was directed through the structures and by the members of the institutional policy organization. The principle of legislated lay public participation, then, was reflected in the policy setting process through the elements of the policy organization particularly those of formal structure, membership, environment, and decision making.

In the case of provincial administration, the lack of a legislative base for lay public participation in institutional governance was evident in the nature of the policy organizations. The formal structures involved exclusively groups of people within the Department of Advanced Education and Manpower and Kelsey Institute. As shown earlier (see Figures 3 & 4), formal structure was the central element that influenced the nature of the other design elements of the policy organization. The lack of lay public participation in the formal structure, therefore, resulted in no evidence of lay public influence on the other organizational design elements.

ORGANIZATIONAL CLIMATE

Background

Organizational climate is related to the perception of the structure, processes, and values of an organization.

Kelly (1980) makes the following comments about organizational climate:

> Every organization has a corporate zeitgeist or general climate and is characterized by a particular, distinctive ambience. How this ambience is perceived -- how this bundle of "vibes" is organized into a gestalt -- is termed organizational climate.
> (p.483)

> Climate is thus an individual's perception of the environment's structure, processes, and values as they relate to his task achievement and human satisfaction in the particular organization to which he belongs.
> (p.486)

The concepts of organizational climate and, more recently, organizational culture have been used to explain the non-rational and symbolic aspects of organizations (see, for example, Deal and Kennedy, 1982). In this respect, the variable of organizational climate provides a means of investigating people's perceptions of how governance structure affects institutional operations in a generalized way. In his study of how Dawson College developed a structure to ensure participation in college governance by students, faculty, administrators, and support staff, Kelly (1973:198) concludes that "the very climate of the College itself seems to have been a product of this ongoing experimentation with participation."

In the present study, organizational climate was not identified initially as an issue for discussion in the interview phase of the data collection. However, during the interviews with study participants at NAIT, comments regarding the impact of board governance on organizational climate did emerge. As a result, an explicit question on the nature of the organizational climate was added to the interview schedule for Kelsey Institute.

NAIT Findings

The results presented in this section were based exclusively on interview data that were gathered in response to the questions cited earlier on the issues of institutional autonomy and participation in academic governance. During the discussion of these questions, several of the interviewees commented explicitly on how attitudes towards their role at NAIT had changed as a result of the change in governance structure, and the consequent changes in the nature of participation in institutional decision making and levels of responsibility. These comments were identified by the reseacher as forming a third major issue of organizational climate.

The comments on organizational climate arose in most cases during the discussion on the nature and extent of participation in institutional governance. The predominant theme in this respect was that legislated membership on governing bodies created a more positive environment within NAIT through enabling people to contribute to institutional governance. Interviewees cited various characteristics of the more positive environment, as follows: (1) improved relationships between administration and academic staff, (2) greater employee motivation, loyalty, and initiative, and (3) greater fulfilment on the job. There was a well developed perception that the opportunity to contribute had engendered a more positive organizational climate, even though the results of the previous section show that there was some question about the actual degree of influence on policy setting by some stakeholder groups.

A second set of comments, which were related to institutional autonomy, provided further insight into the nature of the organizational climate. The principal theme that emerged was that the institutional board structure forced NAIT to manage a wider range of more difficult issues than it had previously dealt with as a provincially administered institution. In this context, the Board of Governors was perceived to be an agent of support for new ideas and moderate risk taking, an agent for breaking up potential stagnation among NAIT staff, and an agent to facilitate action through reaching decisions more quickly and effectively. One interviewee commented that it was no longer possible to avoid responsibility by saying, "You can't do that because of (a certain) government policy." Thus, a high degree of institutional autonomy and a sense that control of the Institute's future lay within NAIT contributed to an organizational climate characterized by the ability to take action on issues of importance to institutional stakeholders.

In summary, the board structure of governance affected the organizational climate positively through the degree of institutional autonomy and the nature of participation in academic governance that were established at NAIT. Both of these factors facilitated the development of a climate that was perceived to be positive -- open and responsive to the contributions of internal institutional stakeholders.

Kelsey Findings

The results presented in this section were based on the interview data gathered in response to the following question:

1. What is the nature of the organizational climate within Kelsey?

In response to this question, three themes were evident. The first theme identified the relatively low degree of institutional autonomy as a key factor affecting organizational climate. Several interviewees within both the Department and Kelsey Institute noted that the highly centralized administrative structure for technical institutes slowed down decision making. There was what one person called "a lack of crispness in decision making." Another view was that the inability to control institutional priorities from within Kelsey had an important effect on organizational climate. The high degree of centralization, then, was seen to be the primary factor which influenced the nature of the organizational climate.

The second theme was an actual assessment of the organizational climate within Kelsey Institute. A wide range of views were expressed on this point. The predominant view was that the low degree of institutional autonomy and the hierarchical structure of the Department had a negative effect on organizational climate, resulting in some degree of frustration, a "housekeeper mentality" on the part of administrators, or "an attitude of resignation." Another view was that the organizational climate within Kelsey mirrored the organizational climate within the Department, which was one of confusion due to the rapid growth in recent years. A third view was that the organizational climate was somewhat fragmented, but "not bad for a large organization." Finally, one interviewee commented that, although the Department seemed to impede rather than facilitate the achievement of institutional goals, there was a good degree of cohesiveness among Kelsey academic staff. The overall impression on this point was that the organizational climate was viewed to be in the range of neutral to somewhat negative due primarily to external constraints on local initiatives.

The third theme consisted of several comments about the consequences of the existing organizational climate. The principal view was that the organizational climate inhibited new ideas from being expressed and acted on. There was a feeling that institutional effectiveness would improve without as much Central Office involvement. There was also a pervading sense of missed opportunities for desirable institutional development. As one interviewee commented, "There are a lot of little issues that keep (the organizational climate) from being as good as it could be."

In summary, the low degree of institutional autonomy was viewed to have a negative influence on the organizational climate; the principal consequence of this was the dampening of individual initiative and creativity.

Comparison of NAIT and Kelsey Findings

A comparison of the results on organizational climate is presented in Table 53.

For NAIT, the organizational climate was found to be positively influenced by both the degree of institutional autonomy and the nature of participation in academic governance. These two factors, which were investigated in detail as part of this study, combined in a consistent manner to create a highly enabling environment. That is, from the individual point of view, there was a sense that one could exercise initiative and that one's view could find an avenue for expression to institutional decision makers.

In contrast, the principal finding at Kelsey Institute was that the organizational climate was viewed to be negatively influenced by the high degree of centralization of decision making on issues of institutional governance. This contributed to an institutional environment characterized by a sense of missed opportunities and suboptimal effectiveness.

These findings reflect the effects of the two major issues examined earlier in this Chapter -- institutional autonomy and participation in academic governance. Board governance, with its emphasis on local control of governance issues and mandated participation on governing bodies, contributed to a positive organizational climate characterized by a sense of personal efficacy. Provincial

Table 53

A Comparison of Findings on Organizational Climate

	Governance Structure	
Issue	Board Governance	Provincial Administration
Participation on Governing Bodies	Positive effect on climate through enabling stakeholders to contribute to issues of institutional governance	
Institutional Autonomy	Positive effect on climate through perceived ability to take action effectively on issues of importance to institutional members at the local level	Negative effect on climate through perceived inability to take action effectively on issues of importance to institutional members at the local level

administration, with its emphasis on centralized priority setting and decision making without broadly based checks and balances, contributed to a somewhat negative organizational climate characterized by a sense of blunted initiative and missed opportunities.

The difference in organizational climate for the two governance structures was not clearly evident in the characteristics of the policy organizations. For example, the existence of a stable formal structure for policy setting under board governance was not, by itself, indicative of either a positive or a negative organizational climate. Similarly, it would be quite possible for an unstable formal structure for policy setting, as found in the case of provincial administration, to be associated with either a positive or a negative organizational climate. The findings on the issue or organizational climate indicated that climate was influenced chiefly by the degree of institutional autonomy and the nature of participation in institutional governance. The organizational design elements selected to describe the policy organization were more reflective of the structural/participative aspects of the latter two factors than of the perceptual aspect of describing the organizational climate.

GENERALIZING ANALYSIS FROM THE TWO INSTITUTIONS

This section tries to draw together the various features already described to develop some generalizations for the two academic governance structures examined in this study. Lipset et al. (1970:169) described generalizing analysis as

> the development of empirical generalization or theory through the analysis of a single case, using it not only to discover anything about it as a system but as an empirical basis either for generalizations or theory construction.

They further note that the analysis can be improved "if the analyses under consideration are not restricted to a single case analysis."

The Policy Organizations

The first section in this chapter summarized and compared the elements of the policy organizations found at NAIT and Kelsey. From that discussion, the following conclusions were evident:

1. The formal structure of the policy organization was closely linked to the academic governance structure of the institution.
2. The organizational design element of formal structure had an important influence on the other elements of the policy organization.

Thus, the academic governance structures of the two institutions influenced the nature of the policy setting process through the organizational design element of formal structure. The local board structure in Alberta integrated the board and board committees into the administrative and decision making structure of the institution. This provided a stable framework for the policy organization and affected the other elements of the policy organization as indicated in Figure 3. In contrast, the centralized provincial administration structure in Saskatchewan was associated with two different formal structures for policy setting -- one at the provincial level and one at the institutional level. Both structures, however, were found to be relatively temporary, affecting the other organizational design elements as depicted in Figure 4.

The General Characteristics

The investigation of the three general aspects of institutional autonomy, participation in governance, and organizational climate associated with the two different governance structures made up the major portion of this chapter. From that analysis the following conclusions were drawn:

1. The two governance structures represented different solutions to the problem of achieving the desired balance between institutional independence and public control.
2. The two governance structures reflected different value positions regarding the nature and extent of participation in postsecondary academic governance.
3. The two governance structures were associated with different organizational climates, particularly with

respect to the perceived ability of institutional members to take action effectively on issues of importance to them.

Further analysis indicated that the nature of the characteristics of institutional autonomy and participation in governance were consistent with the characteristics of the policy organizations developed for each institution. Organizational climate, however, was seen to be primarily a by-product of autonomy and participation but, was not readily evident from the characteristics of the policy organization.

Generalizing Analysis

The comparative summary presented in Table 54 attempts to merge the findings for the three general issues with the elements of the policy organizations to evaluate the generalized impact of governance structure on policy setting.

Goals. In considering the goals of the policy organizations, it was important to examine whose goals were served by the policy setting process. In both cases of policy setting examined at NAIT, interest aggregation occurred within senior management groups. The policy alternatives were formulated and reviewed by members of these groups -- Executive Committee or Senior Officials -- prior to any general review by line managers or other institutional groups. Ultimately, policies were reviewed by the full Board of Governors or an appropriate standing committee of the Board for final endorsement. Thus, policy setting was an instrument of the senior management groups that shaped the

Table 54

A Generalizing Analysis of the Characteristics of the Policy Setting Process

	Governance Structure	
Element	Board Governance	Provincial Administration
Goals	Policy setting was an instrument of professional educators at the institutional level, with formal checks by appointed representatives of the public on the Board of Governors	Policy setting was predominantly an instrument of elected representatives of the public and government officials at the provincial level, with weak checks by institutional personnel
	Policy setting was directed towards institutional issues, in an educational business context	Policy setting was directed primarily towards provincial issues ~~in~~ a public utility context
	Policy setting was used in support of institutional long and short term goals	Policy setting tended to be used in support of current government priorities
Members	There was legislated involvement of a broad range of stakeholder groups	Input from some stakeholder groups occurred through advisory bodies and line reporting relationships
Environment	Institution was more open the external environment	Institution was less open to the external environment
Structure	There were legislated structures and prescribed membership on governing bodies	There were ad hoc structures which were advisory in nature
	Formal structures were explicit, stable, and visible	Formal structures were impermanent
	Structures were similar for different policies	Structures were dissimilar for different policies

Table 54 (continued)

A Generalizing Analysis of the Characteristics of the Policy Setting Process

	Governance Structure	
Element	Board Governance	Provincial Administration
Resources	Resources were allocated implicitly through a stable formal structure	Resources were allocated implicitly through impermanent structures
	Organizational climate was such that individual initiative was fostered	Organizational climate was such that individual initiative was blunted
Tasks	Tasks were similar for different policies	Tasks were dissimilar for different policies
Decision Making	Lay public participation provided for sensitivity to general societal conditions and issues	Control by government departments maintained emphasis on government priorities and issues
	Stable structure contributed to visible process and access to decision makers	Temporary structures obscured actual levels of authority
Communications	A stable formal structure and legislated involvement of a broad range of stakeholder groups ensured constitutional access channels for interest articulation and aggregation	Lack of both stable formal structures and broad stakeholder representation on governing bodies limited the channels of access for interest articulation and aggregation

initial policy statements and recommended their approval to the President. Final review and endorsement of the policy statements by the Board or its standing committees provided a check on the part of the public representatives that was important in realizing the appropriate balance between institutional autonomy and lay public control which was a design feature of the board governance model.

For Kelsey Institute, four of the six policies considered for examination in this study were provincial level policies, with the other two policies being focused at the institutional level. These two levels of policy setting activity gave rise to different policy organizations. With the predominance of policy setting occurring at the provincial level, this process was primarily an instrument of senior civil servants -- for example, Executive Committee of the Department of Advanced Education and Manpower -- and secondarily an instrument of institutional personnel within Kelsey. For provincial policies, the involvement of Kelsey personnel was through line reporting channels and discussions governed by this hierarchical relationship; this structure provided for relatively weak checks on the policy development process by professional educators and other personnel at the institutional level.

The local board structure of governance for NAIT established the capability to focus the policy setting process on institutional issues in the context of how the Institute could best conduct its business. The centralized provincial administration structure of governance for Kelsey established a provincial focus for the policy setting process in the context of service to the public which was linked to government programs and priorities.

Members. As discussed in detail in an earlier section of this chapter, the nature and extent of participation in academic governance was noticeably different for the two institutions. Under the Technical Institutes Act, which established board governance for NAIT, there was legislated involvement of a broad range of stakeholder groups in institutional governing bodies which were an integral part of the policy setting process. The provincial administration model of governance emphasized responsiveness to government priorities, with pubic input through advisory bodies on specific aspects of program development rather than on general institutional governance issues.

Environment. Under board governance, the inclusion of lay public members on the Board of Governors, standing committees of the Board, Academic Council, and other ad hoc Institute committees provided for the direct expression of public viewpoints in these councils and committees. Under provincial administration, there were no formal mechanisms to facilitate lay public input on institutional governance issues.

Structure. As noted earlier in the detailed presentation of results and discussions in Chapters 4, 5, and 6, the formal structure of policy setting at NAIT was integrated into the higher levels of the administrative structure of the Institute. The formal structure included the Board of Governors and Academic Council, which were established with prescribed membership under the Technical Institutes Act. The features of the formal structure were thus stable and visible. In the cases of policy setting studied at Kelsey, the formal structures of policy setting were found to be ad hoc and advisory in nature, providing for a high degree of impermanance.

Resources. For all four cases of policy setting studied, resources for policy development were explicitly allocated to a small or moderate extent. The type of resources utilized, such as position power, personal ability to persuade, and knowledge of the policy process indicated that resources were also allocated implicitly through the formal structure. In the case of board governance, the organizational climate was such that institutional personnel felt enabled to utilize the resources available in this way to actively participate in policy setting. In contrast, the organizational climate associated with provincial administration was such that the study participants generally did not feel enabled to utilize their resources effectively in policy development activities.

Tasks. With a relatively stable structure for policy setting in the case of board governance, the tasks of policy development were found to be moderately to greatly similar for different policies. Under provincial administration, temporary structures for policy setting were associated with tasks of policy development which were viewed to have a small degree of similarity for different policies.

Decision making. Under board governance, a stable formal structure for the policy organization and lay public participation in academic governance provided for a policy decision making process that was visible, accessible, and sensitive to environmental conditions. In the case of provincial administration, impermanent structures for the policy organizations and centralized government control of decisions contributed to a policy decision making process for which the levels of authority were not clear and government, not societal, priorities were emphasized.

Communications. Almond and Powell (1978:178) note that

> most political systems permit some forms of at least very limited interest articulation by individuals .... In more open systems, a much greater variety of channels is provided for interest articulation, and demands for new or continuing policies may legitimately be tied to promises of electoral support.

Two features of board governance -- a stable structure for the policy organization, and legislated involvement of representatives of stakeholder groups -- established the basis for appropriate channels of communication within the policy organization. The lack of these features under provincial administration meant that legitimate channels of access were not as readily available.

CHAPTER 7

SUMMARY, CONCLUSIONS, AND IMPLICATIONS

The purpose of this chapter is threefold: (1) to summarize the study and its findings, (2) to formulate some general conclusions with respect to policy making and institutional governance in technical institutes, and (3) to discuss the implications of the study.

SUMMARY OF THE STUDY

Focus of the Study

Shifting patterns of governance for technical training institutions in western Canada provided the opportunity to examine and compare the characteristics of key organizational processes associated with different governance arrangements. This study focused on the nature of the policy setting process under the structure of board governance that existed in Alberta and the structure of provincial administration that existed in Saskatchewan.

Purpose and Statement of the Problem

The purpose of the study was to examine two cases of policy setting in each of two technical institutes in order to describe and compare the policy organizations that developed in response to two different academic governance structures.

The study addressed the following specific questions:

1. What is the nature of the policy organization, as described by the following eight organizational design elements, by which policies are set for the institution?
    - 1.1 Goals

      What are the goals of the policy?
    - 1.2 Members

      What is the nature of the membership of the policy organization?
    - 1.3 Environment

      What is the nature of the environment of the policy organization?
    - 1.4 Structure

      What is the formal structure of the policy organization?
    - 1.5 Resources

      What organizational resources are allocated specifically to the policy setting process?
    - 1.6 Tasks

      What is the nature of the tasks performed by the members of the policy organization?
    - 1.7 Decision making

      What is the nature of the policy decision making process?
    - 1.8 Communications

      What is the nature of the communications that occur within the policy organization?

2. How do the policy organizations compare for the two different academic governance structures?
3. What is the nature of institutional governance at the two technical institutes, as described by the following three general characteristics of governance structures and processes?
    - 3.1 Institutional autonomy
      What is the nature of institutional autonomy?
    - 3.2 Participation in academic governance
      What is the nature and extent of participation in academic governance?
    - 3.3 Organizational climate
      What is the nature of the organizational climate?
4. How do the general characteristics of institutional governance compare for the two different academic governance structures?
5. To what extent are the general characteristics of institutional governance evident in the nature of the policy organizations?

Design of the Study

The field work that was undertaken in order to address the questions enumerated above was carried out in three phases: (1) the identification and choice of specific policies for detailed examination, (2) the collection of descriptive data on ~~the~~ setting of each policy using a survey questionnaire, and (3) the collection of qualitative data related to the general characteristics of institutional governance using structured interviews.

Selection of the policies. One academic and one administrative policy at each institution were chosen on the basis of the following four criteria, applied in sequential order: (1) the recency of the policy (i.e. must have been approved within the period since January, 1983), (2) the extent to which it was a legislative level policy, (3) the degree of pervasiveness (i.e. the range of institutional personnel affected by the policy), and (4) the degree of comparability of the policy issues between the two institutions studied.

The application of these criteria resulted in the choice of policies on performance appraisal and international education at NAIT; at Kelsey Institute, the policies on competency based learning and student counselling and discipline were chosen.

Conceptual framework. The conceptual framework used in this study treated the process of policy setting as an organization within the larger institutional context. To describe and compare the four cases of policy setting, data were gathered on each of the following eight organizational design elements: (1) structure, (2) goals, (3) members, (4) environment, (5) resources, (6) tasks, (7) decision making, and (8) communications. The data were used to describe a picture of the policy organization for each of the four cases of policy setting.

Development of the instruments. Two instruments were developed to gather data on the respondents' perceptions on both specific aspects of the policy setting process and some general characteristics of institutional governance. A survey questionnaire was designed that would provide a basis for comparison between the policies within each institution as well as between the two institutions. Structured interviews were used to enrich the survey data on the individual cases of policy setting and to gather information on the general characteristics on the two different academic governance structures.

The development of the survey questionnaire was based on the eight organizational design elements defined as part of the conceptual framework for this study. A pilot study was conducted to ensure the content validity of the instrument. As a result of this study, some questionnaire items were modified to increase their clarity and appropriateness. Revisions to the questionnaire were made in the development of the four final versions of the instrument.

The structured interview questions were prepared after the questionnaire data were analyzed. The questions were designed to clarify or amplify the data from the questionnaire. In addition, questions related to three characteristics of institutional governance were developed. The three general features of institutional governance that were investigated were: (1) the nature of institutional autonomy, (2) the nature and extent of public input to postsecondary technical/vocational education, and (3) the nature of the organizational climate.

Analysis of the data. Four levels of analysis were carried out on the questionnaire data. First, frequency distributions and the mean response were compiled for each item. These descriptive statistics were compiled separately for each of the four policies studied. A second level of analysis was carried out by comparing the mean responses on each item for the two policies studied within each institution. Third, from this analysis, similarities in the elements for both policies were identified and developed into a general description of the policy organization for each institution. A fourth level of analysis involved a comparison of the general features of the policy organizations for NAIT and Kelsey.

The analysis of the interview data began by grouping the questions and responses into three major categories: (1) participation in institutional governance, (2) institutional autonomy, and (3) organizational climate. The responses were further sorted into themes on each major issue for each institution. A third level of analysis was conducted by comparing the themes for the two governance structures represented in the study. A final, generalizing analysis was carried out by applying the themes from the three general characteristics of institutional governance to the eight organizational design elements of the policy organizations for each system of academic governance.

Findings of the Study

The research questions of the study are restated and the findings related to each question are summarized in this section.

1. What is the nature of the policy organization for each institution, as described by the eight organizational design elements?

For NAIT, a fairly consistent picture of one policy organization emerged from the examination of the two cases of policy setting. The policy organization at NAIT included the following:

1. The formal policy structure was made up of a relatively stable core and a variable periphery.
2. The goals of policy setting were related more to achieving strategic and institutional goals than to solving specific organizational problems or addressing the needs of specific interest groups.
3. Membership was determined to a great extent by membership in the formal structure.
4. Environmental forces were relatively well understood and exerted a variable effect on the initiation of policy setting; however, the policy process itself was controlled primarily by those within NAIT.
5. The resources which were used to a great extent were related more to the process of policy setting than to the substantive content of the policy issue.

6. The tasks of policy setting were both moderately well identified and understood.
7. Policy decision making was a highly visible process controlled by a relatively small number of people, but the decision making process offered moderate participation by a broad range of people within NAIT.
8. Communications were highly accurate and relatively open; however, they stimulated active discussion to only a small extent.

For Kelsey Institute, different policy organizations were identified for policy setting that occurred at the provincial level and at the institutional level.

The features of the policy organization at the provincial Department of Advanced Education and Manpower level were the following:

1. The formal structure was relatively unstable with a lack of any explicit metapolicies or guidelines governing the policy setting process.
2. The principal goal was to address an issue emerging from Kelsey's external environment.
3. Membership was determined by different factors for Department personnel and Kelsey Institute personnel.
4. External environmental forces were relatively well understood, but views within the organizational environment of Kelsey were not well known. The policy process itself was controlled primarily by those within Saskatchewan Advanced Education and Manpower.

5. A wide range of resources related to both the policy content and the policy process were used to a moderate extent.
6. The tasks of the policy process were moderately well identified, but not well understood. The tasks were different for each case of policy setting.
7. Policy decision making was controlled by a small number of people and provided for minimal participation by those within Kelsey.
8. Communications were highly accurate and relatively open, stimulating a moderate degree of active discussion.

The features of the policy organization at Kelsey Institute were the following:

1. The formal structure was relatively temporary and was characterized by weak lines of authority.
2. The principal goals of the policy addressed both the legislative and operational levels of institutional policy setting.
3. Membership was determined to a great extent by membership in the formal structure.
4. The policy process was controlled primarily by people within Kelsey. The internal organizational environment was moderately well known; however, the external environment was not well known.
5. A wide range of resources related to both the policy content and the policy process was used to at least a moderate extent.

6. The tasks of policy setting were well identified and moderately well understood.
7. Policy decision making was controlled to a moderate degree by a small number of people, but it also allowed for a moderate degree of participation by a broad range of people within Kelsey.
8. Communications were highly accurate and relatively open, stimulating a moderate degree of active discussion.

2. How do the policy organizations compare for the two different academic governance structures ?

For the element of formal structure, there was a noticeable difference in the degree of stability between the board governed and provincially administered governance arrangements. Under board governance, NAIT had developed both a well defined structure for policy setting that was an integral part of the senior levels of Institute administration and some explicit metapolicies governing the policy development process. Under provincial administration, the structures for both policies studied were relatively unstable, having developed as a temporary response to a particular policy issue. At the provincial level, no explicit statements of metapolicy were evident.

An examination of the comparative summary of the organizational design elements for each institution revealed the following generalizations:

1. The element of formal structure of the policy organizations was influenced directly by the academic

governance structure of the institution.

2. The nature of the seven other organizational design elements of the policy organizations was influenced strongly by the element of formal structure.

Thus, for both types of governance arrangements studied, the academic governance structure had a strong, direct influence on the formal structure of the policy organization, and, through the formal structure, on the other elements of the policy organization.

3. What is the nature of institutional governance for each institution, as described by the nature of institutional autonomy, participation in academic governance, and organizational climate?

For NAIT, the principal finding related to institutional autonomy was that control over the full range of Institute operations lay within NAIT. This feature of board governance created a sense of self-determination over present and future Institute affairs; this sense arose from the perception among the study participants that there was a high degree of flexibility within NAIT with respect to the use of resources. The sense of self-determination was also reinforced by the advocacy role played by the NAIT Board of Governors in the institution's dealings with external groups and organizations.

For Kelsey Institute, the main finding with respect to institutional autonomy was that control over almost all functional areas was centralized in various provincial government departments. This characteristic of provincial administration created a sense that control of the Institute's future resided to a great extent outside of Kelsey. The fact that several government departments were involved in various aspects of resource management for the Institute led to some lack of clarity regarding the levels of authority, and it contributed to a high degree of inflexibility regarding the use of resources.

For NAIT, the dominant finding related to the issue of participation in academic governance was that participation in decision making on the part of institutional stakeholder groups was provided for by the establishment of formal structures -- a Board of Governors and an Academic Council -- with membership prescribed by the _Technical Institutes Act_. This feature of board governance created a sense among the study participants that decision making was effective and that decisions were well understood by the broad range of public and institutional participants.

For Kelsey, the principal finding regarding public participation in academic governance was that the formal mechanism of the Program Advisory Committees provided input that was relatively narrow in scope: the committees were advisory in nature, dealt only with program level issues, and were made up almost exclusively of representatives from the employment sector. The lack of other formal mechanisms for public input under the structure of provincial administration contributed to a sense among several of the study participants that decision making was not optimally responsive to public or institutional needs.

For NAIT, the organizational climate was found to be influenced positively by both the degree of institutional autonomy and the nature of participation in academic governance. These two factors combined in a consistent manner to create a highly supportive environment. From an individual point of view, there was a sense that one could exercise initiative, and that one's views could find an avenue for expression in institutional decision making.

For Kelsey Institute, the organizational climate was viewed to be influenced negatively by the high degree of centralization of decision making on institutional governance issues. This contributed to an institutional environment characterized by expressions of missed opportunities and suboptimal effectiveness.

4. How do the general characteristics of institutional governance compare between the two different academic governance structures?

Under board governance, the establishment of a local governing authority facilitated local control over operational and planning issues. Public control was exercised through government regulation and approval of funding levels, as well as through provincial policies which enabled the Department of Advanced Education to coordinate some aspects of postsecondary education. Under provincial administration, control over both academic governance and system coordination was centralized in one body, Saskatchewan Advanced Education and Manpower. Public control was exercised by the provincial government through line authority relationships, thus ensuring that the expectations of society, as represented by provincial government priorities, were achieved. The interests and aspirations of the constituencies within the technical institutes were correspondingly de-emphasized. Thus, the findings with respect to institutional autonomy represented two approaches to achieving different degrees of balance between institutional and public control in postsecondary education.

The findings with respect to public participation in academic governance may have reflected two different value positions regarding the nature and the extent of participation in postsecondary academic governance. The _Technical Institutes Act_ in Alberta reflected the belief that issues related to the institutional governance of technical institutes should be determined through dialogue between lay public representatives and institutional representatives. The structure of board governance consciously created a situation of shared authority by legislating broad participation in academic governance. _The Department of Advanced Education and Manpower Act_ in Saskatchewan reflected the belief that lay public participation in the governance of technical/vocational education was not desirable enough to warrant the sharing of authority on issues of institutional governance. Provincial administration represented a value position that postsecondary technical education should be very responsive to the training needs and priorities identified by elected representatives, with operational support from the educational establishment.

The findings on the issue of organizational climate indicated that for both governance structures, climate was influenced chiefly by the degree of institutional autonomy and the nature of participation in institutional governance. Board governance, with its emphasis on local control and mandated participation on governing bodies, contributed to a positive organizational climate characterized by a sense of personal efficacy. Provincial administration, with its emphasis on centralized priority setting and decision making without broadly based checks and balances, contributed negatively to an organizational climate characterized by a sense of blunted initiative and missed opportunities.

5. To what extent are the general characteristics of institutional governance evident in the nature of the policy organizations?

The different degrees of institutional autonomy for the two governance structures studied were evident in the characteristics of the policy organizations. The relatively high degree of institutional autonomy perceived by those interviewed at NAIT was reflected in the nature of the formal structure, goals, and decision making elements of the policy organization. The high degree of centralized control over institutional operations perceived by the Kelsey and SAEM interviewees was evident in the features of the policy organization at the provincial level. At this level, the nature of the elements of structure, goals, and decision making were all consistent with a highly centralized governance arrangement. At the institutional level, however, the high degree of centralized control was less evident in the features of the policy organization. In particular, the relatively high degree of perceived institutional autonomy in the domains of program maintenance and student affairs was reflected in the nature of the policy organization for the student counselling and discipline policy.

The difference in emphasis on lay public participation by the two different governance structures was also evident in the characteristics of the policy organizations. In the case of board governance, the principle of legislated lay public participation was reflected in the policy setting process through the elements of the policy organization, particularly those of formal structure, membership, environment, and decision making. In the case of provincial administration, the lack of a legislative base for lay public participation in institutional governance resulted in no evidence of lay public influence on any of the organizational design elements of the policy organization.

The difference in organizational climate for the two governance structures was not clearly evident in the characteristics of the policy organizations. This finding was attributed to the nature of the organizational design elements that were used to describe the policy organizations; these elements were more sensitive to the structural and participative aspects than to the climate characteristics of the policy organizations. Meltsner and Bellavita (1983) did not address the issue of organizational climate in their study; thus, their conceptual model was not designed explicitly to assess the nature of the organizational climate.

Discussion of Findings

The following discussion relates the findings for each research question in this study to those of other studies on policy making and academic governance.

Nature of the policy organizations. The first two research questions in this study sought to provide the data necessary to describe and compare the nature of the policy organizations at two technical institutes having different governance arrangements. The following generalizations may be stated on the basis of the findings:

1. The nature of the policy organizations differed for the two types of governance arrangements:
    a) Under board governance, stable structures existed for both policies studied; in addition, the characteristics of the policy organizations were similar for both policies.
    b) Under provincial administration, temporary structures existed for both policies studied; also, the

characteristics of the policy organizations differed for the two cases of policy setting.

2. For both governance arrangements, two relationships were evident:
   a) The element of formal structure of the policy organizations was influenced directly by the governance structure of the institution.
   b) The nature of the other seven organizational design elements of the policy organization was influenced strongly by the element of formal structure.

The generalization that different policy organizations existed under different governance structures is consistent with most views of the policy making process as a highly complex process (Lindblom, 1980; Majchrzak, 1984). Taylor (1980:224) characterized policy making in universities as "a network of policy making systems, each of which is temporary in nature." This description suggests unique circumstances for each case of policy setting, even within the same institution. Thus, the finding that a gross structural difference such as governance structure results in policy organizations with noticeably different features is highly compatible with existing views of the policy setting process.

The existence of stable structures, which were similar for different policies, under board governance suggests an image of the policy formulation process that is contrary to the conventional views noted above. This finding could reflect a particular stage of development for the institution, and the policy organization, in which the environmental circumstances contributed to the maintenance of stable structures from one case of policy setting to the next. This suggestion is explored more fully in the discussion of conclusions later in this chapter.

Under provincial administration, the finding that different temporary structures existed for each case of policy setting conformed very closely to Taylor's (1980:224) description of the policy making process cited above. This result also reflected the different organizational contexts for policy setting at the provincial and institutional levels: in the former situation, the policy organization included structures and members at both the provincial and institutional levels. In the latter context, the policy organization included structures and members at the institutional level only.

The influence of governance structure on the element of structure of the policy organization and the influence of formal structure on the other elements of the policy organization is consistent with the systems view of organizational dynamics. Leavitt (1972:265) declares that "organizations can be thought of as lively sets of interrelated systems designed to perform complicated tasks." Further, Baldridge and Deal (1975:12) suggest that "structure is the prime administrative handle that provides leverage for both producing and adjusting to educational innovation."

In the cases of policy setting studied here, governance structure influenced the nature of the policy organization through the element of formal structure.

Nature of institutional governance. The third and fourth research questions in this study sought to describe and compare the nature of institutional governance at the two institutions studied. For each feature of institutional governance -- autonomy, participation, and organizational climate -- noticeably different characteristics were found for the two governance structures. Under board governance, the existence of a local governing board created a sense among employees of internal control over the institution's future; broad, mandated participation of stakeholder groups on institutional governing bodies fostered a positive organizational climate marked by views among the study participants that decision making was effective and individual initiative was not stifled. Under provincial administration, highly centralized decision making within government departments resulted in a lack of flexibility in the use of resources at the institutional level; an absence of formal structures for the participation of stakeholder groups at the institutional governance level contributed to an organizational climate characterized by some institutional members as autocratic and unresponsive to individual and group initiatives.

These results are consistent with both the general literature on organizational theory and the specific literature on governance structures. Organizational theorists (see, for example, Luthans, 1977:130) generally agree that decentralization of decision making results in more effective decisions "because of the speed and first-hand knowledge that decentralization provides"; increased motivation is a by-product of lower level participation in decision making. Luthans (1977:134) comments that "decentralization gives an opportunity for individual responsibility and initiative at the lower levels." Centralized decision making, however, facilitates closer control of operations, contributes to uniformity of policies and actions, draws on the knowledge of staff specialists, and reduces the risk of errors by subordinates who lack information.

In his overview of board governance of community colleges in Canada, Konrad (1975:9) comments in the following way:

> Governing boards participate in setting institutional policy, establishing operational rules and regulations, approving or rejecting program developments, and controlling fiscal and human resources. The participation of internal constituencies in these actions makes a substantial contribution to institutional development. The professional competence of faculty and the realistic views of students enhance the ability of a board to govern. To the extent that a board adopts the orientation of a governing agency, it should find ways to include these representatives.

Some comparative features of board governance relative to provincial administration cited in the governance literature include the following: (1) greater public participation in higher education (Worth, 1972), (2) improved institutional response to clients (Bosetti, 1972), (3) greater institutional flexibility with respect to resource allocation and policy making (Walkington, 1975), and (4) greater balance between central coordination and decentralized governance (Bosetti, 1972; Berghofer & Vladicka, 1980). Other writers have suggested the following points as factors in support of provincial administration: (1) institutes offer provincial, not regional, programs (Stewart, 1965), (2) technical institutes have larger, more capital intensive budgets which require greater scrutiny than those of community colleges (Campbell, 1971), (3) boards have not proven to be effective buffers (Birdsall, 1975), and (4) government policy makers express satisfaction with provincial administration (Berghofer & Vladicka, 1980).

Influence of governance characteristics on policy organizations. The last research question sought to determine the extent to which the nature of the policy organizations, as developed from the questionnaire responses, exhibited the characteristics of the institutional governance structures, as described by the interview data. For both institutions, the degree of institutional autonomy was reflected in the elements of structure, goals, and decision making. An observable effect of the nature and extent of participation in governance was evident in the features of the policy organization at NAIT only; for Kelsey, which had no formal structures other than line reporting relationships to facilitate stakeholder input to institutional governance, no effect was evident. For neither institution was the influence of organizational climate clearly evident in the characteristics of the policy organizations.

The finding that the characteristics of the institutional governance structure were evident to some extent in the nature of the policy organizations provided support for the generalizations reached earlier that governance structure influenced formal structure directly, and that formal structure strongly influenced the other elements of the policy organization. This finding was also consistent with the views expressed by Kelly (1973) in his study of the implementation of a participative approach to college governance; Kelly (1973:208) commented on the relationship between the form of governance and the organizational characteristics by noting that

> a college operating with a high degree of participatory governance might be characterized by certain organizational features. These included structural arrangements which accommodate participation of all constituencies, integrate academic and financial decision-making, have administrative and governance components, decentralize decision-making, and are adaptable to new conditions. It was also concluded that such a college would be typified by an open climate, cultivated by purposeful strategies designed to facilitate participation and communications.

CONCLUSIONS

The conclusions, which are based on the discussion above, are presented in three categories: (1) policy setting in technical institutes, (2) academic governance structures of non-university institutions, and (3) methodological aspects of the study.

Policy Setting in Technical Institutes

Two broad topics are addressed in this section. First, some insights into the nature of the policy setting process based on the findings of this study are discussed, Second, some comments are made on the ability of various models of policy making to accurately describe policy making at technical institutes.

The nature of the policy setting process. A major finding of this study was that, for all the policies studied, the formal structure of the policy organization was influenced directly by the academic governance structure of the institution. Furthermore, the nature of the other organizational design elements was influenced strongly by the element of formal structure. These findings were consistent with the results which showed that the general characteristics of institutional governance related to autonomy and participation were clearly evident in the features of the policy organizations. Based on these findings, the first conclusion of this study is:

1. **The nature of the policy setting process is strongly influenced by the type of academic governance structure.**

Two specific features of policy setting -- volume of policy development activity and stability of formal structures -- were noticeably different for NAIT and Kelsey.

At the time of this study, NAIT was in a relatively early stage of development as a board governed institution. From the discussion of the descriptive background for NAIT at the beginning of Chapter 4, it was evident that the conversion to board governance had created the need for new policy development. Thus, NAIT experienced a fairly steady, high level of policy development from April, 1982, the time of conversion, to the spring of 1985 when the specific policies were selected for this study. This high level of policy setting activity and an early developmental stage were associated with stable structures within the policy organization at NAIT.

Kelsey Institute, however, had experienced a relatively low volume of policy making during the same three year period. This low level of policy development occurred during a stage of maturity for Kelsey Institute as a provincially administered institution; Kelsey had operated under the same form of governance since its creation in 1963. The low level of policy setting and a mature stage of institutional development under provincial administration were associated with unstable, temporary structures within the policy organizations at Kelsey.

The differing natures of the formal structures of the policy organizations at NAIT and Kelsey may have reflected varying degrees of loose coupling among structural units in institutions at different stages of development. Weick (1976) describes a loosely coupled system as one in which work units preserve considerable autonomy, leading to a weak system of authority. Empirical studies (Cohen and March, 1974; Meyer and Rowan, 1978) suggest that some aspects of educational organizations are best understood in terms of the concept of loosely coupled systens in which structural elements are only loosely linked to one another and the technology for accomplishing the goals of the organization is not well-defined. Hasenfeld (1983:151) notes, however, that "human service organizations will develop tightly coupled systems around those activities and tasks that directly affect the enlistment of legitimation and procurement of resources"; these conditions would have applied to NAIT as it developed new policies under a new form of academic governance.

The observations with respect to volume of activity and stability of structures lead the researcher to speculate on the characteristics of a life cycle model of development for the policy organization. Several models of the organizational life cycle have been summarized by Cameron and Whetten (1983). These models have attempted to identify the major transitions undergone by organizations as they develop over time. Cameron and Whetten (1983:275) comment that the term organizational life cycle "focuses on evolutionary change in the sense that development of organizations is assumed to follow an a priori sequence of transitions rather than to occur randomly or metamorphically." In their study of the developmental sequence in Alberta public colleges, Heron and Friesen (1973) noted that, as colleges mature, decision making tends to become more decentralized among more and lower levels of the college.

The characteristics of the policy organizations just described for NAIT and Kelsey provide the basis for the following speculation on the possible dynamics of life cycle development for the policy organization. For institutions in the early stages of development under a particular form of academic governance, a need exists to set policies to deal with newly emerging issues under the new governance arrangement. This condition stimulates an increased level of policy-setting activity, which, in turn, induces the formation of relatively stable, tightly coupled structures to accommodate the need for new policies. As institutions reach maturity under a particular form of academic governance, the many years of experience with the issues related to that form of governance could reduce the need for new policy development. This trend may result in a gradually decreasing volume of policy making activity, as well as decentralization of decision making. With little policy setting occurring in the mature institution, the formal structure of the policy organization would fall into disuse, resulting in loosely coupled components of the formal structure. At this point, the organizational response to a new policy issue may be to establish ad hoc, temporary structures to deal with the issue rather than to utilize the previously established formal structure. The likelihood of this response might be increased if there has been a change in the membership of the policy organization. The net effect of such a model is stated in the second conclusion:

> 2. The stage of institutional development under a particular form of academic governance would affect the level of policy setting activity and the stability of the formal structure of the policy organization.

Cameron and Whetten (1983:275) note that "the dynamic properties of organizations largely have been ignored in scholarly inquiry in favor of cross-sectional, snap-shot views." This study has presented a snap-shot of the policy organizations at two technical institutes. The dynamics of the development of these policy organizations is clearly an area for further research and will be discussed further in the Implications section of this chapter.

In summary, the results of this study led to a third conclusion:

> 3. Policy setting in technical institutes can be described in terms of a policy organization within the larger institutional context. The central element of the policy organization is the formal structure, which is influenced directly by the type of governance structure.

The volume of policy setting activity and the stage of institutional development have been identified as other factors whose potential effects on the policy organization could be the subject of future research.

Models of policy making. The data presented in Chapters 4 and 5 were used to develop an understanding of the policy organizations for the four policies examined in this study. The utility of the four models of the policy process reviewed in Chapter 2 are assessed below with respect to the degree to which they provide meaning to the underlying dynamics of the policy organizations.

Institutionalism was presented earlier (Dye, 1981:20) as a model of the policy process that emphasizes the role of governmental structures and institutions in developing, implementing, and enforcing public policy. Although the policy organization at NAIT was localized within the institution, the element of formal structure was identified as the key element that influenced the other organizational design elements. In addition, some important components of the structural element, such as the Board of Governors, were prescribed by the *Technical Institutes Act*.

At Kelsey, policy organizations at two different levels -- the provincial level and the institutional level -- were identified. Again, the element of formal structure was viewed to be the central element of the policy organizations, despite the fact that it was characterized as relatively unstable. Particularly, for the policy organization at the provincial level, both the presence and the influence of governmental structures on the policy setting process were clearly evident.

For both institutions, then, the following conclusion is stated:

4. The model of institutionalism was useful for understanding the importance of the element of formal structure and its effect on the policy making process.

The group theory of policy development views policy setting primarily in terms of negotiation and bargaining among stakeholder groups. For both of the policies studied at NAIT, negotiation and bargaining were viewed to occur to only a small extent as part of the policy decision making process. At Kelsey, policy decision making involved a moderate degree of negotiation and bargaining for both policies investigated. At both institutions, however, other features of the policy decision process, such as reference to known facts and control of the process by a small number of people, were rated as occurring to a great extent. Thus, the conclusion reached here is:

5. The group theory model of policy development described a relatively small portion of the policy setting process as it occurred at both institutions in this study.

This conclusion contrasts with the conclusions reached by Baldridge (1971), Long (1979), and Taylor (1980), who all determined that the dynamics of negotiation and compromise played a large part in the cases of policy setting which they examined. As noted earlier in Chapter 2, however, no single model of the policy making process is adequate to describe all facets of a particular case. Thus, the cases of policy setting examined in this study had some degree of negotiation and bargaining as features of the process; however, the perceptions of the study participants were that the dynamics of the group theory model were evident to only a small extent.

Elite theory describes the policy process in terms of a small group of people, with a uniform set of values, which controls the policy setting process and develops policy without much reference to the views of those outside of the elite group. Small (1980:1887) noted the importance of elites in his case study of the genesis of Athabasca University, as follows:

> It is also reasonable to expect that in any major policy issue some people would be perceived to be the influentials in shaping this policy. They could be seen to be operating overtly as an elite group or alternatively they might operate in a covert manner as an informal network. In either event these groups would be seen to be the key opinion makers.

For all four policies studied here, policy decision making was viewed to be controlled by a small number of people to at least a moderate extent. However, the process was also felt to be one that allowed for moderate participation by a broad range of people. Only in the case of the policy on competency based learning was there a combination of a high degree of control by a small number of people and a low degree of participation by others; in this case, elite theory may be applicable to the policy setting behavior of the members of the policy organization. On balance, however, the following conclusion applies to this study:

6. Elite theory by itself did not accurately describe the characteristics of the policy setting process in technical institutes.

Other characteristics, such as structures which provided for broad participation by stakeholders, modified the influence of any elite groups that existed.

The final model of the policy process described in Chapter 2 was systems theory. This approach emphasizes various elements that contribute to policy development and their dynamic interrelationships. In Scott's (1981:103) terms, "all systems are characterized by an assemblage or combination of parts with relations among them such that they are interdependent." This view of the policy making process removes the emphasis on a single dominant factor evident in the other three models reviewed above; it considers, instead, the interaction of several factors that may be important in any particular organizational process. This study explored the nature of eight organizational design elements in an effort to accurately describe the policy organizations at two technical institutes. As noted earlier in the discussion of findings, for both governance arrangements examined in this study formal structure was the central element of the policy organization; formal structure was influenced by the governance structure and, in turn, exerted influence on the other seven organizational design elements. Thus, the following conclusion is stated:

7. The systems theory viewpoint was compatible with the description of the policy setting process developed in this study.

Academic Governance Structures of Non-University Institutions

Although the starting point of this study was the policy setting process and its relationship to the type of academic governance, this research also dealt with some general characteristics of governance structures. Some conclusions and predictions with respect to the general aspects of academic governance for non-university institutions are discussed in this section.

The findings presented in Chapter 6 on the characteristics of board governance and provincial administration indicated that each type of governance structure was associated with different features with respect to institutional autonomy, participation in governance, and organizational climate. These findings led to the following conclusion:

8. The type of governance structure employed represents a choice on the part of educational policy makers of a particular set of characteristics for both the non-university system of institutions and its relationship to the government department responsible for postsecondary education.

A partial listing of the factors associated with the two forms of academic governance structure studied here was provided earlier in the discussion of the findings.

The findings of this study show that the local board structure provided the basis for both a high degree of flexibility in the use of institutional resources and an organizational climate that was receptive to change. Some study participants in Saskatchewan expressed satisfaction with the existing conditions associated with provincial administration; others expressed uncertainty about the possible negative aspects of other governance arrangements, including board governance. However, as the number of examples of technical institutions that are operating effectively under board governance increases, these uncertainties will be reduced. Under these conditions, it is suggested that the willingness of senior policy makers to seriously consider some type of local governance as a viable alternative mode of academic governance will increase. A further tentative conclusion, therefore, is stated as follows:

9. **As the social, economic, and political contexts of higher education become more complex in the future, it is predicted that the structure of local governance will continue to spread in use as the preferred governance arrangement for technical institutes.**

As noted in the comparison of NAIT and Kelsey findings on the issue of institutional autonomy, an effective balance between institutional governance and provincial coordination was supported by the existence of a number of policies in Alberta Advanced Education in a variety of areas, including program coordination, further education, and community consortia. The absence of such policies in Saskatchewan in all areas except program development left undefined the government's view of how provincial coordination should be managed. It is the opinion of the researcher that in cases where the type of governance structure results in shared responsibility for system coordination and institutional governance, the natural tension between government department and technical institute responsibilities must be actively managed. This leads to the conclusion that:

10. The effective sharing of responsibilities between the provincial and institutional levels will depend on the definition, through legislation or appropriate policy statements, of each level's primary sphere of influence.

Beyond this, the active cooperation of government and institutional personnel will be required for the effective implementation of shared responsibilities for overall system governance.

Finally, it is possible to comment on the degree to which the expectations for the board governance of technical institutes in Alberta have been achieved. Four such expectations were enumerated in Chapter 2; they were that:

(1) there should be lay public participation in the governance of higher education, (2) there should be participation by all institutional stakeholder groups in local governance decisions, (3) there should be a balance between lay public and professional educational influence on institutional policy setting, and (4) there should be effective buffering of the institutions from the influence of specific interest groups. A final conclusion regarding academic governance is the following:

11. The findings of this study indicate that the first three expectations of board governance have been substantially met and that the last feature is, as yet, largely untested.

Two summary comments from the literature reflect the nature of the conclusions reached in this section. The Carnegie Commission on Higher Education (1973:3) stated as a major theme in its report that "governance is a means and not an end. It should be devised not for its own sake but for the sake of the welfare of the academic enterprise." In a similar vein, Millett (1984:265) commented as follows:

> Administrative machinery, however, is not the bottom line in public higher education. Institutional effectiveness, social responsibility, governmental accountability, and the preservation of a free society are the true goals of such education.

Methodological Aspects of the Study

The conceptual model employed in this study was adopted from Meltsner and Bellavita (1983), who utilized the concept of a policy organization described by eight organizational design elements. They applied this framework to a case study of single policy issue. The current study modified the use of the framework to facilitate the use of a survey questionnaire to gather comparative data on four cases of policy setting at two institutions. In the experience of this researcher,the following conclusions apply to the use of this model:

12. The policy organization model was a useful way of thinking about the policy setting process. First, it reduced the apparent complexity of the process by focusing on its component parts. Second, the model proved to be adaptable to a wide range of policies set under different conditions.
13. By providing a comprehensive set of organizational design elements, the model maintained a broad focus while also providing both appropriate direction for the investigation and a basis for comparison of the four policies studied.

Operationally, the conceptual model guided the design of the research, particularly the survey questionnaire phase of the study. The interview guide was developed to gather data on the general characteristics of institutional governance identified in the literature, as well as to supplement the survey questionnaire data on the specific policies.

14. The combination of two different research instruments developed on different bases provided a

valuable method of validating the results of the investigation.

It was noted earlier in this chapter that the organizational climate characteristics, identified through interviews at the two institutions, were not evident in the elements of the policy organizations. In cases where other aspects of institutional governance are the subject of research, the range of organizational design elements in the conceptual model may not be adequate to provide validation of results gathered in another part of the study. This suggests that:

15. The model could be modified to include a different set of organizational design elements to be consistent with the policy or governance variables being studied.

Meltsner and Bellavita (1983:230) offer the following view on when the use of their model would be disadvantageous: "a technical problem that has an obvious technical solution with few social or organizational implications does not need our approach." They (1983:231) comment further that

> since using our framework does require time, money, and people, some managers would be better off relying on their own knowledge and intuition about their organizations. For the manager who works closely with the members , who gets good feedback, and who has an appropriate vantage point to get some perspective - - that manager probably has little need for an organizational description. If the manager, however, is new to the organization or has been so long in the job that he or she has lost touch, then that manager would probably benefit from using our approach.

IMPLICATIONS

The implications of this study are presented in two sections: (1) implications for practice, and (2) implications for further research.

Implications for Practice

The findings of this study have a number of implications for educational policy makers and senior academic administrators. As an administrator who is either involved in or responsible for the policy making process, an awareness that formal structure is a key element that influences the other elements of the policy organization is necessary to understand the dynamics of the policy process effectively. Thus the first implication of the finding is that:

1. Administrators may improve their effectiveness by recognizing the importance of the formal structures involved in the policy setting process in their institutions.

In addition to recognizing the central importance of the element of formal structure, administrators can develop some comprehension of the actual nature of the formal structure. This study revealed two general types of structures. At NAIT, there was a relatively stable core structure that was augmented by peripheral structures unique to each particular policy issue. At Kelsey, there were two different structures, depending on the level -- provincial or institutional -- of the policy considerations; at both levels, however, the structures were relatively temporary. Other general types of structures are likely to exist at different institutions. But in order to understand and effectively participate in the policy setting process, administrators need to comprehend the nature of this critical organizational design element.

A second, related implication of this study is suggested by the conclusion that the formal structure of the policy organization is influenced by a number of factors, including the type of governance structure, and the stage of institutional development. A second implication for administrators, then, is that:

2. In designing effective policy setting processes, the administrator responsible for guiding policy development may improve his understanding of the process by considering the factors noted above and the degree to which they will affect the nature of the policy making process. Particularly during periods of transition, an understanding of the life cycle stages of the policy organization would help administrators to manage such transitions more knowledgeably.

The findings of this study indicated that each governance structure is associated with a set of characteristics regarding the degree of institutional autonomy, the nature and the extent of participation in institutional governance, and the nature of the organizational climate. This finding suggests that:

3. Senior government policy makers may recommend more effective changes in academic governance structure by considering the features best suited to the environmental conditions affecting postsecondary education. That is, any redesign of the governance structure may be based on both an assessment of the critical success factors for the postsecondary educational system and the ability of a particular governance arrangement to be congruent with those factors.

A fourth implication for educational practitioners relates to participating in the administration of a postsecondary system in which the primary responsibilities for system coordination and institutional governance are split between the provincial and institutional levels respectively. As discussed in conclusion 10 earlier, the implication is that:

4. Senior administrators at both the system and institutional levels may improve their effectiveness by recognizing the role of policies as the basis for effective management at both levels.

Implications for Research

A number of the conclusions stated earlier provide the basis for suggestions for further research. Some hypotheses that require further testing are proposed under the three categories of conclusions developed earlier in this chapter.

This study examined two cases of policy setting at each of two technical institutes representing different governance structures. The following suggestions for further research could be applied to a broader range of policies, institutions, and governance structures to test the degree of applicability of the findings to other settings. Also, the conclusions in this study were arrived at using a combination of survey research and case study techniques. Further research could test the generalizability of the results through a broad scale survey (for example, a Canada-wide survey of two-year institutions); alternatively, the accuracy of the conclusions could be tested against individual case studies of policy setting which have been documented already or which are undertaken in the future. In this context, specific hypotheses for further research are enumerated below.

The nature of the policy setting process.

Hypothesis 1: The nature of the policy organization is dependent on the stage of institutional development under a particular form of governance structure.

Hypothesis 2: An early stage of development is accompanied by a high volume of policy setting activity and a relatively stable formal structure for the policy organization.

Hypothesis 3: A mature state of development is accompanied by a low volume of policy setting activity and a relatively unstable formal structure for the policy organization.

Academic governance structures of non-university institutions.

Hypothesis 4: The effectiveness of governance arrangements in which the responsibility for system coordination and institutional governance are located at more than one level of authority is dependent on the existence of policies governing the split responsibilities.

Hypothesis 5: As the social, political and economic contexts of higher education become more complex, requiring a range of flexible responses on the part of institutions, the structure of local governance will become more frequent as the form of governance for technical institutes.

Methodological aspects of the study.

Hypothesis 6: The formal structure of the policy organization is the central element which influences the other organizational design elements.

Hypothesis 7: The policy organization conceptual framework is an approach that may be applied to the general study of policy setting in organizations.

Future research which tests these hypotheses will improve the general body of knowledge on academic governance and will, in turn, provide the basis for improving the effectiveness of academic administrators.

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Appendix A

PANEL MEMBERS FOR QUESTIONNAIRE EVALUATION

QUESTIONNAIRE EVALUATION STUDY PARTICIPANTS

Board governed institution

1. Dr. G. O. Kelly, President, Grant MacEwan Community College
2. Dr. T. C. Day, Academic Vice-President, Grant MacEwan Community College
3. Mr. B. L. Snowden, Administrative Vice-President, Grant MacEwan Community College

Provincially administered institution

1. Dr. M. B. Andrews, President, Alberta Vocational Centre
2. Mr. W. Sokolik, Vice-President, Alberta Vocational Centre
3. Ms. E. Cunningham, Director of Operations & Planning, Field Services Division, Alberta Advanced Education

Appendix B

TRANSMITTAL LETTER AND QUESTIONNAIRE

NORTHERN ALBERTA INSTITUTE OF TECHNOLOGY

MEMORANDUM

Date: June 11, 1985

File No:

Phone: 471-7006

From: L.M. Morgan, Director
Research and Academic Development

Research Project - Policy Setting at NAIT

The attached questionnaire, which is concerned with the process of policy setting at NAIT, is part of a study being conducted by Mr. Bill Glanville for his doctoral dissertation.

The goal of this project is to describe policy setting as it occurs under different academic governance arrangements. NAIT is participating in the study as a technical institute that is administered by a Board of Governors. This study will seek to examine two specific policies developed within the last two years at NAIT: (1) the policy on performance appraisal, and (2) the policy on international education.

As a person involved in the process of setting NAIT's policies on international education, you have been selected to participate in this research. Your role in the institute makes your responses to the attached questionnaire important to the study. You are asked to complete the questionnaire and return it to:

Bill Glanville
c/o Division of Research and Academic Development

Your response by June 24, 1985 would be appreciated by Mr. Glanville, since the other phases of this research project cannot be carried out until the results of this questionnaire have been analyzed.

Mr. Glanville has indicated that the questionnaire has been pre-tested with a sample of people like yourself, and has been revised on the basis of comments received from the test group. You can expect to take approximately 30 minutes to complete each questionnaire.

Once the responses to the questionnaire have been analyzed, Mr. Glanville will be seeking a personal interview with you to discuss more fully your views and your involvement in the development of the policy on international education.

The Institute has endorsed the study and your co-operation will be appreciated.

L. M. Morgan

L.M. Morgan, Director
Research & Academic Development

This questionnaire is designed to gather information on eight different elements of the policy setting process as it occurs at the Northern Alberta Institute of Technology. For each statement, please circle the response that indicates the extent to which the statement is true, based on your involvement in setting NAIT's **policy on international education.** For your reference, a copy of the policy statement is attached.

The number on the questionnaire is solely for purposes of follow up. Your responses are regarded as confidential and will only be used for statistical purposes; they will not be released in any way that will allow them to be identified with you.

1-3

Element 1 - GOALS

What do you perceive to be the goals of the policy on international education? Indicate the extent to which each of the following statements describes the goal of the policy on international education.

Response key

1. Not at all
2. To a small extent
3. To a moderate extent
4. To a great extent
5. To a very great extent

		OFFICE USE ONLY
1. Set a new direction for NAIT that is perceived to be of strategic importance to the institution	1 2 3 4 5	4
2. Address an issue emerging from the environment outside of NAIT	1 2 3 4 5	5
3. Address an initiative taken by a specific interest group	1 2 3 4 5	6
4. Facilitate the achievement of specific institutional long term goals	1 2 3 4 5	7
5. Facilitate the achievement of specific institutional short term goals	1 2 3 4 5	8
6. Solve a specific organizational problem by establishing new guidelines and procedures	1 2 3 4 5	9
7. Formalize institutional commitment to past practices and procedures in the area of international education	1 2 3 4 5	10
8. Update an existing policy	1 2 3 4 5	11

Element 2 - MEMBERS

What was the basis for and the extent of your involvement in the process for developing the policy on international education? Indicate the extent to which the following statements are true regarding your role in the process.

Response key

1. Not at all
2. To a small extent
3. To a moderate extent
4. To a great extent
5. To a very great extent

			OFFICE USE ONLY
1.	I was involved in the policy development process because of:		
	a) my knowledge and expertise in the subject matter related to the policy	1 2 3 4 5	12
	b) my membership in an interest group affected by the policy	1 2 3 4 5	13
	c) my membership in a group that is part of the formal structure of policy setting at NAIT	1 2 3 4 5	14
2.	My role in the policy process was that of:		
	a) a person who prepared the initial policy statement	1 2 3 4 5	15
	b) a person being consulted regarding my concerns and ideas on the policy	1 2 3 4 5	16
	c) a person granting final approval of the policy	1 2 3 4 5	17
3.	I employed specific actions in an attempt to influence the course of the policy process	1 2 3 4 5	18
4.	The final policy statement incorporated my preferences for the wording of the policy	1 2 3 4 5	19
5.	My involvement in the policy process was continuous throughout the consideration of the policy on international education	1 2 3 4 5	20
6.	The other primary participants involved in the development of the policy remained the same throughout the policy setting process	1 2 3 4 5	21

Element 3 - ENVIRONMENT

What is your view of the environmental context within which the policy on international education was set? Indicate the extent to which the following statements are true of the conditions associated with the development of the policy on international education.

Response key

1. Not at all
2. To a small extent
3. To a moderate extent
4. To a great extent
5. To a very great extent

			OFFICE USE ONLY
1.	There were few, if any, forces acting on NAIT from outside to initiate consideration of the policy on international education	1 2 3 4 5	22
2.	The direction of the policy setting process was determined primarily by people within NAIT	1 2 3 4 5	23
3.	The environment **outside** of NAIT was characterized by known points of view regarding the policy on international education	1 2 3 4 5	24
4.	The environment **outside** of NAIT was characterized by uniform points of view regarding the policy on international education	1 2 3 4 5	25
5.	The environment **inside** of NAIT was characterized by known points of view regarding the policy on international education	1 2 3 4 5	26
6.	The environment **inside** of NAIT was characterized by uniform points of view regarding the policy on international education	1 2 3 4 5	27
7.	The policy on international education had connections with many other issues and policies within NAIT	1 2 3 4 5	28

Element 4 - RESOURCES

What is your view of the nature of the resources that are used in the policy process? Indicate the extent to which each of the following statements is true of the resources used to set the policy on international education.

Response key

1. Not at all
2. To a small extent
3. To a moderate extent
4. To a great extent
5. To a very great extent

		OFFICE USE ONLY
1. With respect to setting the policy on international education, the resources used to accomplish the process were:		
a) in-depth knowledge related to the policy issue	1 2 3 4 5	29
b) personal ability to persuade	1 2 3 4 5	30
c) knowledge of the policy setting process	1 2 3 4 5	31
d) power derived from position in the organization	1 2 3 4 5	32
e) legal information	1 2 3 4 5	33
f) information gathered through research	1 2 3 4 5	34
g) other organizational resources; please specify _______________	1 2 3 4 5	35
2. Resources to accomplish the setting of the policy were explicitly allocated to participants in the policy making process	1 2 3 4 5	36

Element 5 - TASKS

What is your view of the tasks involved in setting the policy on international education? Indicate the extent to which the following statements are true of the tasks of setting the policy on international education.

Response Key

1. Not at all
2. To a small extent
3. To a moderate extent
4. To a great extent
5. To a very great extent

		OFFICE USE ONLY
1. The tasks involved in the policy setting process were clearly identified	1 2 3 4 5	37
2. Those responsible for various policy tasks were well acquainted with the policy process and its requirements	1 2 3 4 5	38
3. The specific tasks that occurred in setting the policy on international education were:		
a) identifying the problem	1 2 3 4 5	39
b) developing alternative policy positions	1 2 3 4 5	40
c) debating the relative merit of the policy alternatives	1 2 3 4 5	41
d) deciding on the most appropriate policy statement	1 2 3 4 5	42
e) accepting a policy that was determined outside of NAIT	1 2 3 4 5	43
4. The tasks occurred as a routine sequence of events	1 2 3 4 5	44
5. The tasks of the policy making process for international education were the same as for other policies	1 2 3 4 5	45

Element 6 - DECISION MAKING

What is your view of the way in which policy decisions are made at NAIT? Indicate the extent to which the following statements are true of the decision making process for the policy on international education.

Response Key

1. Not at all
2. To a small extent
3. To a moderate extent
4. To a great extent
5. To a very great extent

		OFFICE USE ONLY
1. The policy decision was made by applying pre-set procedures	1 2 3 4 5	46
2. The policy decision was made by negotiation and bargaining among the various groups involved in the process	1 2 3 4 5	47
3. The policy decision was made by reference to the facts which were known about the policy issue	1 2 3 4 5	48
4. The policy decision was made by a small number of people who controlled the policy setting process	1 2 3 4 5	49
5. The policy decision was made by the chance interaction between various people and various issues within NAIT	1 2 3 4 5	50
6. Policy decision making was an open process that allowed for participation by a broad range of people within NAIT	1 2 3 4 5	51
7. The policy statement on international education was granted final approval by:		
a) an institute committee or council	1 2 3 4 5	52
b) the President	1 2 3 4 5	53
c) the Board of Governors	1 2 3 4 5	54
d) the Department of Advanced Education	1 2 3 4 5	55

Element 7 - COMMUNICATIONS

What is your view of how information related to policy making for NAIT is shared through communication? Indicate the extent to which the following statements are true of communications in the process of setting the policy on international education.

Response key

1. Not at all
2. To a small extent
3. To a moderate extent
4. To a great extent
5. To a very great extent

			OFFICE USE ONLY
1.	Information was shared through written communications	1 2 3 4 5	56
2.	Information was shared through verbal communication	1 2 3 4 5	57
3.	Information was actively discussed by groups throughout NAIT	1 2 3 4 5	58
4.	Information regarding the policy on international education was provided by:		
	a) the President	1 2 3 4 5	59
	b) a Vice-President	1 2 3 4 5	60
	c) the Board of Governors	1 2 3 4 5	61
	d) the Department of Advanced Education	1 2 3 4 5	62
5.	The information that was communicated regarding the policy was timely	1 2 3 4 5	63
6.	The information that was communicated regarding the policy was accurate	1 2 3 4 5	64
7.	Discussion on the policy issue was stimulated by the distribution of a policy review paper on international education	1 2 3 4 5	65

Element 8 - STRUCTURE

The formal structure of the policy process is defined by the explicit allocation of tasks to participants in the process.

In the space provided below, summarize the specific activities that occurred during the process of developing the policy on international education. For each activity, indicate the person(s) who had the formal responsibility for accomplishing it.

TASK/ACTIVITY	PERSON(S) RESPONSIBLE
Example 1. Put item on agenda of Executive Committee for discussion	Vice-President of Educational Support Services

Appendix C

INTERVIEW GUIDES

Interview questions - NAIT administrators

A. Questions related to the specific policies studied

1. What was the origin of the policy issue?
2. What steps occurred in setting the policy?
3. What was your involvement in the process of setting the policy?

B. Questions related to policy setting in general (to confirm or clarify generalizations apparent from the questionnaire data)

1. To what extent is the following description accurate for the policy setting process at NAIT?
   a) involvement in policy setting is determined primarily by the formal policy structure, and
   b) policy decisions are controlled by a small number of people, with moderate participation by others within NAIT

2. To what extent are policy review papers used in communicating background information on policy issues?

C. Questions related to the nature of board governance

1. To what extent does the existence of the Board facilitate public input to postsecondary technical/vocational education?

2. To what extent does the existence of the Board facilitate institutional independence?

3. To what extent has the Board acted as a buffering mechanism
   a) to buffer NAIT from external forces and interest groups?
   b) to buffer the provincial government from operational issues within NAIT?

4. How has the legislated membership of NAIT constituencies (e.g. academic staff, non-academic staff, and students) on the Board of Governors and on Academic Council affected
   a) policy setting?
   b) decision making in general?

5. What other general comments, if any, do you have?

Interview questions - NAIT Board members

A. Questions related to the specific policies studied

1. What was the origin of the policy issue?
2. What steps occurred in setting the policy?
3. What was your involvement in the process of setting the policy?

B. Questions related to policy setting in general

1. What has been the nature of the involvement in policy setting of
   a) standing committees of the Board?
   b) the Board of Governors?

C. Questions related to the nature of board governance

1. To what extent does the existence of the Board facilitate public input to postsecondary technical/ vocational education?

2. To what extent does the existence of the Board facilitate institutional independence?

3. To what extent has the Board acted as a buffering mechanism
   a) to buffer NAIT from external forces and interest groups
   b) to buffer the provincial government from operational issues within NAIT?

4. How has the legislated membership of NAIT constituencies (e.g. academic staff, non-academic staff, and students) on the Board of Governors and on Academic Council affected
   a) policy setting?
   b) decision making in general?

5. What other general comments, if any, do you have?

Interview questions - Kelsey administrators

A. Questions related to the specific policies studied

1. What was the origin of the policy issue?
2. What steps occurred in setting the policy?
3. What was your involvement in the process of setting the policy?

B. Questions related to policy setting in general

1. What is the nature of the policy setting process at Kelsey:
   a)what is the role of the Kelsey Management Council?
   b)what is the role of the Chairpersons' Committee?
   c)what is the role of senior administrators (Principal and two Assistant Principals)?
   d)what is the role the the Principals' Committee?
   e)what is the role of Saskatchewan Advanced Education and Manpower?

C. Questions related to the nature of provincial administration

1. What mechanisms exist to facilitate public input to postsecondary technical/vocational education?

2. What is the nature of provincial program planning and coordination?

3. What is the nature of institutional independence?

4. What is the nature of the administrative relationships between the Department of Advanced Education & Manpower and Kelsey Institute?

5. What is the nature of the organizational climate within Kelsey?

6. What other general comments, if any, do you have?

Interview questions - Saskatchewan Advanced Education & Manpower

A. Questions related to the specific policies studied

1. What was the origin of the policy issue?
2. What steps occurred in setting the policy?
3. What was your involvement in the process of setting the policy?

B. Questions related to policy setting in general

1. What is the relationship of the Department to the technical institutes with respect to policy setting?
    a) what is the role of Departmental Senior Officials
    b) what is the role of the Institute Operations Branch?
    c) what is the role of the Principals' Committee?

C. Questions related to the nature of provincial administration

1. What mechanisms exist to facilitate public input to postsecondary technical/vocational education?

2. What is the nature of provincial program planning and coordination?

3. What is the nature of institutional independence?

4. What is the nature of the administrative relationships between the Department of Advanced Education & Manpower and Kelsey Institute?

5. What is the nature of the organizational climate within Kelsey?

6. What other general comments, if any, do you have?

Appendix D

PERMISSION TO CONDUCT RESEARCH

NORTHERN ALBERTA
INSTITUTE OF TECHNOLOGY

11762-106 Street
Edmonton, Alberta
Canada, T5G 2R1

Phone 471-7400

May 6, 1985

Mr. W. Glanville
10417 - 134 Street
Edmonton, Alberta
T5N 2B3

Dear Mr. Glanville:

RE: Doctoral Research Proposal

I am pleased to advise that the Executive Committee has reviewed and endorsed your proposal, subject to the conditions a) that no financial support of NAIT is provided, and b) that we have the opportunity to review the detailed questionnaires/survey instruments before they are implemented.

I would appreciate receiving your formal acceptance of these conditions, and ask that you keep me advised of your progress within the Institute, in connection with your research.

Good luck in your work!

Sincerely,

K. Kamra
Special Projects Officer

cc: L. Morgan
F. Williamson

✓cc: Dr. A. Konrad

University of Alberta
Edmonton
Canada T6G 2G5

Department of Educational Administration
Faculty of Education
7-104 Education Building North, Telephone (403) 432-5241

May 13, 1985

Dr. Kris Kamra
Special Projects Officer
Northern Alberta Institute of Technology
11762 - 106 Street
Edmonton, Alberta
T5G 2R1

Dear Kris:

Re: Doctoral Research Activities at NAIT

Thank you for your letter indicating approval for my access to NAIT and to some of its personnel to carry out a portion of my doctoral research project. The conditions specified in your letter are fully acceptable to me.

I look forward to commencing my activities at NAIT in the immediate future.

Yours sincerely,

W. H. Glanville

W. H. Glanville

cc: A. Konrad
L. Morgan

Saskatchewan

Saskatchewan
Advanced
Education and
Manpower

Kelsey Institute
of Applied Arts
and Sciences

Idylwyld Drive and 33rd Street West
Box 1520
Saskatoon, Canada
S7K 3R5

1985 April 23

William H. Glanville
Department of Educational Administration
Faculty of Education
7-104 Education Building North
University of Alberta
Edmonton, Alberta
T6G 2G5

Dear Mr. Glanville:

RE: Your Request to Conduct Research Within Kelsey Institute

I was pleased to receive your letter of April 15 and send to you a formal invitation to carry out your research project at this Institute.

We look forward to meeting you in the near future.

Yours sincerely,

G.M. Brown
Principal

GMB:grm

p.c. Dr. A. Konrad

Appendix E

STUDY PARTICIPANTS

STUDY PARTICIPANTS

Northern Alberta Institute of Technology

Policy number 1: Performance Appraisal

S. Souch, President

F. Williamson, Vice-President, Instruction

J. Batty, Vice-President, Administration & Finance

A. Nixon, Vice-President, Educational Support Services

A. McCagherty, Chairman, Board of Governors

L. Jacobs, Public Member, Board of Governors; Chairman, Personnel Committee of the Board

B. Ashton, Public Member, Board of Governors; Member, Personnel Committee of the Board

P. Baird, Academic Staff Representative, Board of Governors

L. Bradshaw, Director, Engineering Technology Division

W. Ralston, Director, Finance

S. Seethram, Director, Business & Applied Arts Division; Member, Ad Hoc Committee on Performance Appraisal

D. Willott, Acting Director, Human Resource Services

Policy number 2 - International Education

S. Souch, President

F. Williamson, Vice-President, Instruction

J. Batty, Vice-President, Administration & Finance

A. Nixon, Vice-President, Educational Support Services

A. McCagherty, Chairman, Board of Governors

P. Baird, Academic Staff Representative, Board of Governors

L. Bradshaw, Director, Engineering Technology Division

W. Ralston, Director, Finance

R. Proudfoot, Former Director, International Education

Kelsey Institute of Applied Arts & Sciences

Policy number 3 - Competency-Based Learning

G. Brown, Principal

L. Dinter, Assistant Principal, Programs

E. Conrad, Director, Industrial Division

S. Green, Director, Personal & Community Services Program Division

V. Hamre, Prgram Head, Agricultural Machinery Technician

D. Campbell, Program Head, Welding

E. Evancio, Assistant Deputy Minister, Advanced Education Division, Saskatchewan Advanced Education & Manpower

M. Burns, Director, Program Development & Standards Branch, Saskatchewan Advanced Education & Manpower

N. Tamlin, Research Officer, Program Development & Standards Branch, Saskatchewan Advanced Education & Manpower

M. Swayze, Director, Institute Operations Branch, Saskatchewan Advanced Education & Manpower

L. Sparling, Program Policy Officer, Institute Operations Branch, Saskatchewan Advanced Education & Manpower

Policy number 4 - Student Counselling & Discipline

G. Brown, Principal

L. Dinter, Assistant Principal, Programs; Chairman, Kelsey Management Council

D. Sollosy, Chairperson, Health Sciences Division; Chairman, Kelsey Management Council Subcommittee on Student Discipline

L. Anderson, Program Head, Refrigeration & Air Conditioning; Member, Kelsey Management Council Subcommitteee on Student Discipline

K. Fey, Program Head, Personal Development Worker; Member, Kelsey Management Council Subcommittee on Student Discipline

M. Strankay, Program Head, Microcomputer Management; Member, Kelsey Management Council Subcommittee on Student Discipline

D. Reimer, Counsellor, Student Services; Member, Kelsey Management Council Subcommittee on Student Discipline.

Appendix F

DOCUMENTARY MATERIALS

Documentary Materials Collected

A. Northern Alberta Institute of Technology

1. Copies of the policy statements for
   a) performance appraisal
   b) international education

2. Summary of standing committees of the Board, their purposes, and their memberships

3. Annual Report 1983-84

4. NAIT: A Profile (September, 1985)

5. NAIT in International Development (September, 1984)

B. Kelsey Institute of Applied Arts & Sciences

1. Kelsey Calendar, 1984-86

2. Organizational chart (April, 1983)

3. Copy of the policy statement for student counselling and discipline (June 4, 1984; revised June 10, 1985)

4. Copy of guidelines for academic integrity and examination procedures (May 31, 1985)

5. List of the members of the Kelsey Management Council (September, 1984)

6. Copy of report entitled *Competency Based Education Review* (1982)

C. Saskatchewan Advanced Education & Manpower

1. Copy of the policy statement for
   a) program development
   b) student grievance procedure
   c) program advisory committees

2. Annual Report 1983-84

3. Copy of *The Advanced Education & Manpower Act* (April, 1983)

4. Copy of *The Community Colleges Act* (October, 1983)

Appendix G

DEFINITION OF POLICY

POLICY

A consistent appreciation of what constitutes "policy", "policy development", etc. is necessary in order to ensure an appropriate focus for Executive Committee deliberations.

A synthesis of various definitions, as used by the Department in its policy development ("Program Coordination Policy," "Trade Schools Policy," "Further Education Policy", etc.) is as follows:

A POLICY IS DEFINED AS A PHILOSOPHICALLY-BASED, GOAL-ORIENTATED, PROBLEM-CENTERED, GUIDE TO FUTURE DISCRETIONARY ACTION.

A POLICY IS NOT A
- GUIDELINE) WHICH ARE INCREASINGLY
- PROCEDURE) PRESCRIPTIVE, LACKING
- REGULATION,) LATITUDE
etc.

The format often used is to adopt the "POLICY-GUIDELINE-PROCEDURE" approach, in which the policy statement is followed by increasingly specific implementation statements.